

**OAKSDM411.1-2  
REVISION 5**

**ISSUED: 5/2001**

# **Environment, Safety & Health Functions, Responsibilities & Authorities Manual (FRAM)**

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## **OAKLAND OPERATIONS OFFICE**

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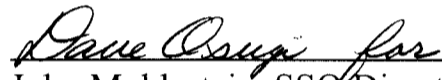
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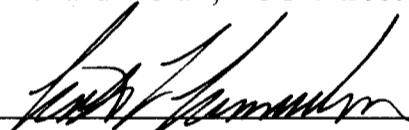
## ES&H FUNCTIONS, RESPONSIBILITIES & AUTHORITIES MANUAL (FRAM)

1. PURPOSE: This Manual identifies the ES&H functions for the Oakland Operations Office.
2. SUMMARY: This manual was developed to be consistent with the DOE and PSO FRAMs. Delegations of authority have been specifically identified in this Manual.
3. REFERENCES: DOE P 411.1-1, Safety Management Functions, Responsibilities, and Authorities Policy, DOE M 411.1-1A, Manual of Safety Management Functions, Responsibilities, and Authorities, and OAK SD 110.1e, Organizations and Functions.
4. CONTACT: Questions concerning this Manual should be addressed to the Environment, Safety, and Health Division.


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## TABLE OF CONTENTS

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I. Purpose and Scope .....	Page - 1
II. DOE Management Structure .....	Page - 1
III. OAK Organizational Structure	
A. OAK Management Overview .....	Page - 2
B. OAK's Organizational Structure .....	Page - 3
C. BSO, SSO, and NIF Organizations .....	Page - 5
D. OAK's Major Sites	
Lawrence Livermore National Laboratory .....	Page - 5
Energy Technology Engineering Center .....	Page - 8
Separation Process Research Unit .....	Page - 8
E. Office of Science Sites .....	
Lawrence Berkeley National Laboratory .....	Page - 8
Stanford Linear Accelerator Center .....	Page - 10
F. Other OAK Contractors .....	Page - 11
G. Overseas Contractors and Operations .....	Page - 11
H. Management Agreements with Other DOE Sites .....	Page - 11
IV. Delegations .....	Page - 12
Appendix A: Detailed Functions, Responsibilities, and Authorities .....	Page - 13
Table 2 OAK Management Systems .....	Page - 13
Table 3 Contract Management .....	Page - 18
Table 4 Program Execution .....	Page - 21
Table 5. Program Assignments .....	Page - 32
Table 6. Cognizant Secretarial Officer/Cognizant Program Manager Assignments .....	Page - 32
Appendix B: Definitions .....	Page - 33
Appendix C: Organizational Chart .....	Page - 35
Appendix D: Level 1 Crosswalk to Level 2 .....	Page - 36

## **I. Purpose and Scope**

The Department of Energy (DOE) and National Nuclear Security Administration (NNSA) are committed to conducting work safely and efficiently, consistent with the DOE Integrated Safety Management System. Safety management functions, responsibilities, and authorities vary depending on the work conducted at each facility and its associated hazards and risks. The rigor and comprehensiveness of safety management program execution will vary accordingly. In safety management programs, clear definitions of functions, responsibilities, and authorities are essential to ensure public and worker safety and health, as well as protection of the environment. The overriding goal is to do work safely.

The purpose of this Functions, Responsibilities and Authorities Manual (FRAM) is to delineate the Environment, Safety and Health (ES&H) functions for the DOE Oakland Operations Office (OAK), the Berkeley Site Office (BSO), the Stanford Site Office (SSO), and the Field Element of the NNSA Office of the National Ignition Facility Project (ONIF). The OAK FRAM will identify the ES&H functions and their component parts that have been assigned to Field Elements by the DOE Safety Management Functions, Responsibilities, and Authorities Manual and other DOE directives, and assign the lead responsibility for these functions to specific organizations within OAK, BSO, SSO, and ONIF. This FRAM establishes a formal, organized process whereby the safe conduct of work in accordance with the DOE P 411.1, Safety Management Functions, Responsibilities, and Authorities Policy, can be planned, performed, assessed, and improved.

The source of the function, responsibility, and authorities assigned in this manual come from various sources including, the DOE FRAM (DOE M 411.1-1A), DOE Orders, delegation memorandums, delegations in other DOE and NNSA organization's Function, Responsibilities, and Authorities documents, and other policies and directives. This FRAM does not attempt to capture each responsibility from these sources word for word, but assigns lead responsibility for each function such that it is clear who has the lead for each responsibility statement contained in the source documents.

This manual applies to all work that OAK, BSO, SSO, and ONIF have management oversight responsibility for: Lawrence Livermore National Laboratory (LLNL), Ernest Orlando Lawrence Berkeley National Laboratory (LBNL), Stanford Linear Accelerator Center (SLAC), the site formerly known as the Energy Technology Engineering Center (ETEC), Separations Process Research Unit (SPRU) Decommissioning, and all other contracts assigned to OAK. This Manual also applies to all work performed within the Oakland Operations Office by federal and support contractor employees in support of the OAK mission.

## **II. DOE Management Structure**

In 1999, DOE realigned its management structure to improve how DOE manages across a set of issues including roles and responsibilities, authority, accountability and reporting. In this realignment, ES&H accountability flows from the Secretary, through the Cognizant Secretarial Officer (CSO), through a Field Element to the contractor. Other Program Secretarial Officers (PSO), who perform work at a particular site or laboratory and are not assigned CSO responsibilities, are responsible for funding and conforming to site/facility wide operational programs, including ES&H.

In 2000, the Deputy NNSA Administrator for Defense Programs (DP) was assigned as the Lead Program Secretarial Officer (LPSO) for OAK. The LPSO has overall ownership responsibility for OAK and is responsible for providing a management overview of OAK wide operational programs including ES&H. These management relationships are further defined in the Secretary's April 21, 1999 memo "Changes to the Departmental Management Structure" and the Deputy Secretary's August 19, 1999 memo "Roles and Responsibilities Guiding Principles".

Also in 2000, three offices that were formerly part of OAK became independent of OAK and report directly to HQ. BSO and SSO, who have management oversight responsibility for LBNL and SLAC respectively, report to the Office of Science (SC), who is the CSO for these sites. ONIF, which provides onsite management of the construction of the ONIF project, is part of the NNSA Office of the National Ignition Facility Project, DP-7. OAK continues to provide administrative support, including support in the ES&H area, to each of these local offices.

### **III. OAK Organizational Structure**

#### **A. OAK Management Overview**

Line authority, responsibility, and accountability for management assessment of contractor activities flows from the PSO to the OAK Manager and is assigned to the Assistant Managers (AM) at OAK. Line management for LBNL, SLAC, and the NIF Project flows directly to the BSO Director, SSO Director, and ONIF Deputy Director respectively. The AMs and Directors are responsible for the day to day assessment of all program operations, including ES&H. For some programs, the AM or Director may also be responsible for programmatic direction to the contractor. Each AM group is organized in a slightly different manner to implement these responsibilities, however each has several divisions with program managers who are responsible for the ES&H activities within their assigned programs.

At each multiprogram site, a Cognizant Program Manager (CPM), commonly referred to as the Site Manager, has been assigned. The Cognizant Program Manager is responsible for integrating and coordinating ES&H activities at the site. The Cognizant Program Manager maintains an awareness of all significant ES&H issues and is responsible for assuring safe operations of institutional facilities and ES&H infrastructure. The Cognizant Program Manager is also responsible for programmatic functions as assigned by the CSO. Program Managers (PM), with work at a site for which they are not the Cognizant Program Manager, are responsible for ES&H within their programs and related facilities and for programmatic functions as assigned by the PSO. Included in this responsibility is conforming to site wide ES&H programs.

At single program sites, the Program Manager is responsible for ES&H and fulfills the responsibilities of both the Program Manager and Cognizant Program Manager. The scope of this responsibility varies according to DOE's contractual relationship, scope of work, and external regulation.

ES&H support is provided to the Cognizant Program Managers and Program Managers by subject matter experts (SME) located in various divisions (commonly referred to as the OAK Matrix). SMEs may have line management responsibilities and authorities for areas where they are in the line management chain, and also have support responsibilities to other Program Managers and Cognizant Program Managers.

Integrated Safety Management (ISM) is an integral part of OAK policies and procedures, work and execution. The OAK ISM system is described in the OAK ISM Description approved by the OAK Manager. OAK ES&H policies and procedures, including the Description and FRAM, apply to all of OAK including the BSO, SSO, and ONIF Field Element. The OAK Manager has established the ES&H Committee to manage and guide the implementation of ES&H policy within OAK and to share lessons learned. The BSO and SSO, Directors and ONIF Deputy Director are members of this Committee. An ES&H Working Group composed of staff representatives from various organizations assists the ES&H Committee to work crosscut issues. The Livermore Safety Oversight Division (LSOD) is OAK's Point-of-contact (POC) for coordinating responses on ES&H policy with OAK's LPSO. BSO and SSO will coordinate responses on ES&H policy directly with SC/HQ. ONIF Field Element will coordinate responses on ES&H policy directly with DP-7 and is the POC with the Defense Nuclear Facilities Safety Board (DNFSB) for the NIF project. The Nuclear Safety Team (NST) coordinates response on nuclear safety policy and is the POC for all interactions with the DNFSB for OAK.

It is the expectation of management that the Cognizant Program Managers, the ES&H SME's, facility representatives, and Program Managers, and others will establish teams as appropriate across organizational lines to carryout assigned responsibilities. The functional assignments made in Appendix A identify the organization that has the lead responsibility and ultimate accountability for accomplishing the assigned function. It is expected that the lead organization will coordinate with other organizations as necessary to assure that the primary function and all related ancillary functions are accomplished appropriately.

Issues may arise and should be resolved at the lowest level. If the issue can not be resolved at the lowest level, it should be resolved by the involved AM and the Cognizant Program Manager. If the issue can not be resolved by AM and the

Cognizant Program Manager, then it will be elevated to the Manager for resolution. The Manager may use ES&H experts not associated with the issue to provide an independent evaluation.

## B. OAK's Organizational Structure

This section describes the primary responsibilities for each OAK organization. A summary of the Oakland Operations Office and the responsibilities for each office/division is provided. (More detailed information can be found in the latest version of the OAK Supplemental Directive 110.1.) Appendix C contains OAK's organizational chart.

OAK currently has three Assistant Managers reporting directly to the Manager. Each of the Assistant Managers has four to seven divisions reporting directly to them. Additionally, there are certain cross cutting functions (i.e. legal, quality management, public affairs) that report directly to the Manager's Office. The full mission statement of each organization can be found in OAK SD 110.1. Table 1 contains an abbreviated version.

Table 1. OAK Divisional Mission Statements

THE MANAGER'S OFFICE (MO)	
OFFICES	MISSION
Office of Chief Counsel (OCC)	Chief legal advisor and is responsible for all matters of law and legal policy.
Office of the Chief of Staff (COS)	Provides support for OAK planning oversight, supports the development of processes necessary for overall performance improvement, and coordinates cross-cutting Oakland based emergency activities.
Office of Public Affairs (OPA)	Provides a comprehensive communications activity.

FIELD CHIEF FINANCIAL OFFICER AND BUSINESS MANAGEMENT (FCFO/BM)	
DIVISIONS	MISSION
Budget Division (BUD)	Prepare budget requests and provide direction and guidance on budget matters.
Finance Division (FD)	Provides financial management services, policies, and guidance.
Business Evaluation and Performance Division (BEPD)	Plans and executes all financial review activities and implements the audit liaison compliance and follow-up programs.
Human Resources Management Division (HRMD)	Establishes and implements programs for human resource management, training and development, and contractor industrial relations.
Contracts, Acquisition & Property Division (CAPD)	Provides HQ policy implementation, award and administration for the management and operation of government owned national laboratories. Provides general contracting and administration, guidance, and direction.
Information Management Division (IMD)	Provides leadership and service to ensure effective quality life cycle management of DOE information.
Financial Assistance Center (FAC)	Provides award and administration of all grants and financial assistance.

<b>ASSISTANT MANAGER FOR NUCLEAR SECURITY (AMNS)</b>	
<b>DIVISIONS</b>	<b>MISSION</b>
Defense Programs Operations Division (DPOD)	Provides field program integration in operational areas, infrastructure management, and program implementation of the Defense Weapons Program and related DP construction, with the exception of the National Ignition Facility project.
Livermore Safety Oversight Division (LSOD)	Provides institutional ES&H management through the ES&H Functional Area Managers, institutional team, and Facility Representative within LSOD, and provides ES&H support to all program organizations at LLNL.
Safeguards and Security Division (SSD)	Provides field management for implementation of the DOE safeguards and security policies and programs for OAK's sites/contractors.
Nuclear Safety Team (NST)	Provides institutional ES&H management of nuclear safety, criticality safety, and natural phenomena hazards for LLNL nuclear facilities, and nuclear safety Subject Matter Experts to program organizations with nuclear facilities. Additionally, the NST serves as OAK's point of contact for the DNFSB except for NIF.
National Security Programs Division (NSPD)	Provide field line management for the Nonproliferation and National Security (NN) and Office of Intelligence program activities and related work for others.

<b>ASSISTANT MANAGER FOR ENVIRONMENTAL MANAGEMENT AND NUCLEAR ENERGY (AMEN)</b>	
<b>DIVISIONS</b>	<b>MISSION</b>
Oakland Environmental Programs Division (OEPD)	Manages and directs programs and activities to assess and remediate sites contaminated from past operations, and for minimizing, treating, storing, and disposing of DOE waste. Responsibility includes all sites except LLNL.
Livermore Environmental Programs Division (LEPD)	Manages and directs programs and activities to assess and remediate LLNL sites contaminated from past operations, and for minimizing, treating, storing, and disposing of DOE waste at LLNL. Provides decontamination and decommissioning and waste management Subject Matter Expert support to all program organizations at LLNL. Provides field line management for Nuclear Energy program activities.
Engineering and Facilities Management Division (EFM)	Serves as the focal point for the corporate responsibilities in Facilities Management, including the central policy function in construction project management (Life Cycle Asset Management (LCAM)).
Environment, Safety, and Health Division (ESHD)	Provides technical ES&H Subject Matter Experts to all OAK program and site managers. Serves as the focal point for OAK ES&H corporate responsibilities. Serves as the focal point for Integrated Safety Management (ISM), Quality Assurance (QA) and Lessons Learned within OAK.

### C. BSO, SSO, and ONIF Organizations

The table below describes the mission of the three independent offices administratively supported by OAK.

DIVISIONS/OFFICES	MISSION
Berkeley Site Office (BSO)	Provides field management and implementation of Office of Science Programs at LBNL, LLNL, and GA. Provide institutional management of LBNL.
Stanford Site Office (SSO)	Provides field management and implementation of Office of Science Programs at SLAC and institutional management of SLAC.
NNSA Office of the National Ignition Facility Project(ONIF) Field Element	Provides field management of the National Ignition Facility project.

### D. OAK's Major Sites

This section provides a breakdown of the major roles and responsibilities from a site perspective and identifies the roles and responsibilities for each division at each site. Only the top-level roles and responsibilities are discussed in this section. Appendix A provides a more detailed breakdown of the roles and responsibilities.

#### Lawrence Livermore National Laboratory

LLNL is a NNSA laboratory that consists of three sites, the main site in the City of Livermore, Site 300 in the hills east of Livermore, and LLNL activities at the Nevada Test Site. LLNL's main sponsor is DP, but the Laboratory performs work for virtually every PSO in DOE.

DP-10 is the "landlord" of the NNSA Laboratories and as such is responsible for maintaining LLNL and overseeing institutional operations. DP-10 has delegated authority to oversee operations to the OAK Manager, who in turn has delegated this authority to the AMNS, who is the Cognizant Program Manager for LLNL. This includes oversight of daily operations and institutional programs for Environment, Safety and Health; Maintenance; Personnel Training & Qualification; Safeguards and Security; Integrated Safety Management; and Infrastructure related issues. Support organizations of the Oakland Operations Office assist the AMNS in fulfilling these responsibilities.

At LLNL, AMNS provides integrated safety and security oversight for all LLNL facilities. This is accomplished through two primary mechanisms:

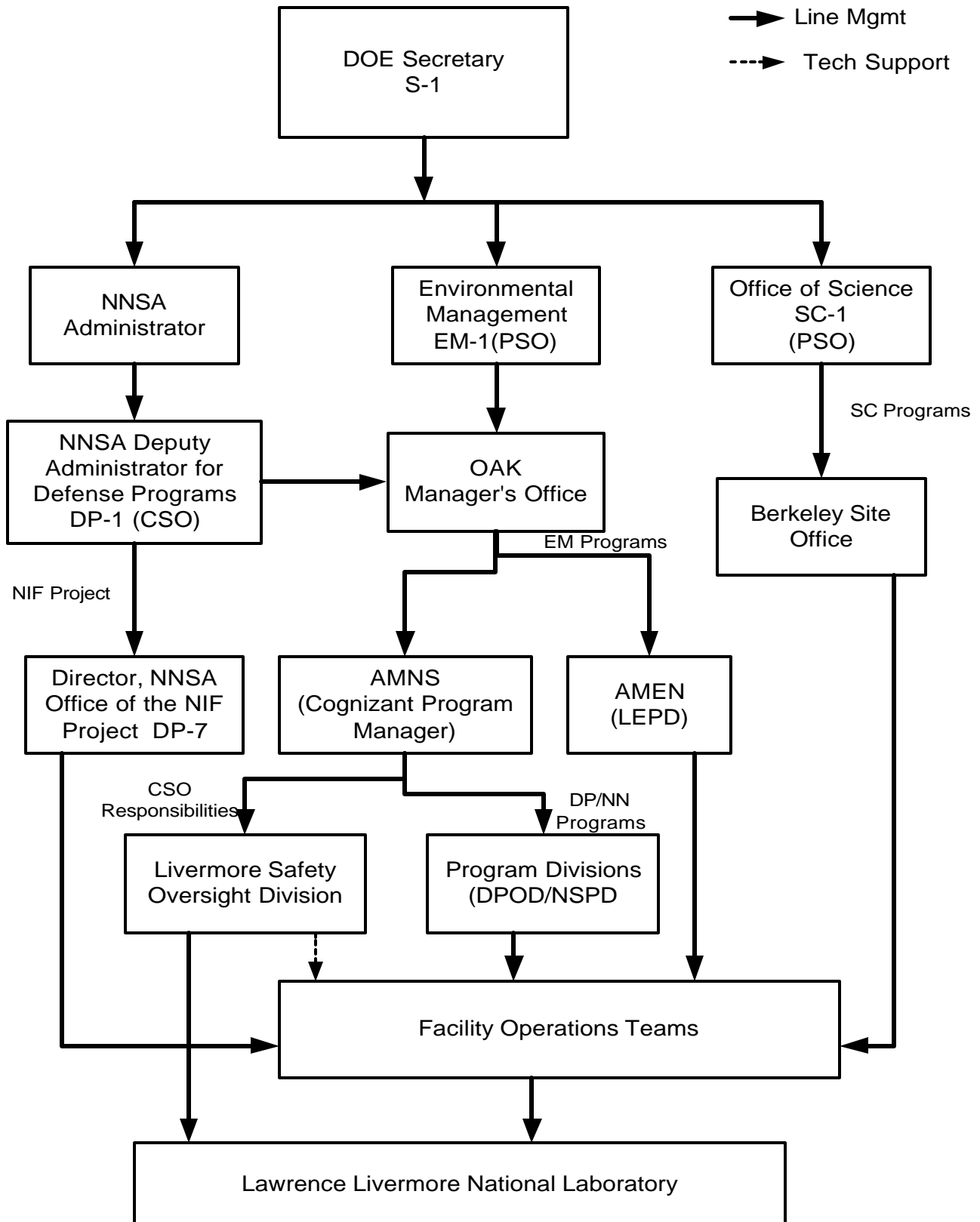
- (1) Management Oversight of Specific Facility Operations. Oversight is accomplished through the implementation of Facility Operations Teams, each of which manage and oversee a program/facility specific "vertical slice" of the laboratory. The mission of the Facility Operations Teams is to promote safe, secure, and efficient operations by ensuring that ES&H, safeguards and security, and programmatic needs are identified, integrated, prioritized, and addressed by implementing appropriate controls from early in the work planning phase and on through the performance of work in support of the programmatic mission. All LLNL facilities are managed by a Facility Operations Team which consists of a Team Leader, a Facility Representative or Facility Operations Engineer (provided by LSOD as appropriate to the hazards of the facilities), other cognizant line managers (provided by the program divisions), ES&H subject matter experts (from LSOD, NST, and LEPD), and Safeguards and Security subject matter experts (provided by SSD). The Institutional/Science Facility Operations Team addresses institutional and infrastructure issues. Additionally, this latter group oversees the few SC facilities at the Livermore Site. A representative from LSOD with a background in institutional issues at the Site leads this team. The team also has SC programmatic representation from the Berkeley Site Office.

- (2) Management Oversight of Major ES&H Cross-Cutting Functions at LLNL. The AMNS accomplishes oversight through the use of subject matter experts who serve as Functional Area Managers. These line ES&H experts provide a “cross-cutting” perspective on how the various ES&H disciplines are being managed across the Laboratory. They are accountable for ensuring, within their respective disciplines, that LLNL’s ES&H programs are being properly managed and implemented site-wide. This includes understanding issues related to budgeting, staffing, organization, policy, support to programs/facilities, cross-cutting technical issues, lessons learned, and overall effectiveness of the ES&H program site-wide.

The program divisions are responsible for assuring the safe and secure operation of program activities at the Livermore Site including the responsibility to identify and resolve ES&H and Safeguards and Security problems including those issues requiring funding. Field program line responsibilities at the Livermore Site are assigned to the following divisions:

- Stockpile Stewardship/Management programs, Work for Others, and Technology Development Programs funded by DP are assigned to DPOD.
- Line Management on the NIF Project flows down from the Secretary of Energy/Deputy Secretary of Energy to the NNSA Administrator to the NNSA Deputy Administrator for Defense Programs to the Director, NNSA Office of the NIF Project (ONIF) to the ONIF Deputy Director, located onsite at LLNL. DOE ES&H direction to the ONIF Project Manager is through the Deputy Director ONIF/Field. The ONIF Project falls under the UC contract (ENG-48), which is managed by OAK, with the Deputy Director ONIF/Field Manager being the Contracting Officer's Technical Representative.
- Program activities of the Deputy Administrator for Defense Nuclear Nonproliferation (NN) are assigned to NSPD.
- Environmental Restoration programs, Waste Management programs, Technology Development programs funded by EM, and Nuclear Energy (ONEST) program activities are assigned to LEPD.
- Office of Science programs at Livermore are assigned to the BSO.
- Safeguards and Security activities are assigned to SSD.
- In general, programmatic construction at Livermore is the responsibility of the program divisions, and institutional capital projects and DP GPP is assigned to DPOD, unless otherwise designated by the Cognizant Program Manager. Program divisions are responsible for the day-to-day activities for assigned construction projects including all ES&H activities.
- Site institutional management of ES&H issues, including Integrated Safety Management implementation, at Livermore has been assigned to LSOD except for nuclear safety. LSOD is responsible for the ES&H infrastructure at Livermore and for assuring the safe operation of institutional facilities not assigned to a specific program. LSOD is responsible for providing the necessary ES&H technical support requested by the Program Managers or Cognizant Program Manager.
- Site institutional management of nuclear safety issues at Livermore is assigned to the AMNS Nuclear Safety Team (NST). This includes nuclear authorization basis documentation, criticality safety, OAK DNFSB Point of Contact, and implementation of nuclear safety related standards, orders, and policies. NST also provides technical support for oversight and operational awareness activities for nuclear facilities and operations as requested by the Program Managers or Cognizant Program Manager.

**ES&H Line Management for LLNL**



### **The Site Formerly Known as the Energy Technology Engineering Center (ETEC)**

ETEC is located on the Santa Susana Field Laboratory (SSFL) in the county of Los Angeles and occupies 90 of the 2,668 acres of the SSFL. DOE no longer needs the facilities at ETEC to support the DOE mission. The Boeing Company owns the land and is the prime industrial contractor responsible for decommissioning and deactivating the facilities.

EM-1 is responsible for decommissioning and deactivation of the site. Authority has been delegated to the OAK Manager, who in turn has delegated this authority to the AMEN. AMEN has assigned OEPD as the Program Manager for ETEC. Since ETEC is a single program site, OEPD is solely responsible for ES&H at ETEC. SSD is responsible for the Safeguards and Security activities at ETEC. OEPD is provided the necessary ES&H technical support from the OAK matrix.

### **Separations Process Research Unit (SPRU)**

SPRU is located at the Knolls site of the Knolls Atomic Power Laboratory (KAPL) in Schenectady, New York. DOE no longer needs the facilities at SPRU to support the DOE mission. The Office of Naval Reactors manages KAPL.

EM-1 is responsible for decommissioning and deactivation of SPRU. Authority has been delegated to the OAK Manager, who, in turn, has delegated this authority to the AMEN. AMEN has assigned OEPD as the Program Manager for SPRU. However, since the SPRU site is located within a facility operated by the Office of Naval Reactors (ONR), certain ES&H activities will be shared between ONR and OAK. A Functions, Assignments, and Responsibilities document, delineating these shared ES&H responsibilities, will be developed and agreed to between ONR and OAK. OEPD is provided the necessary ES&H technical support from the OAK matrix.

## **E. Office of Science Sites**

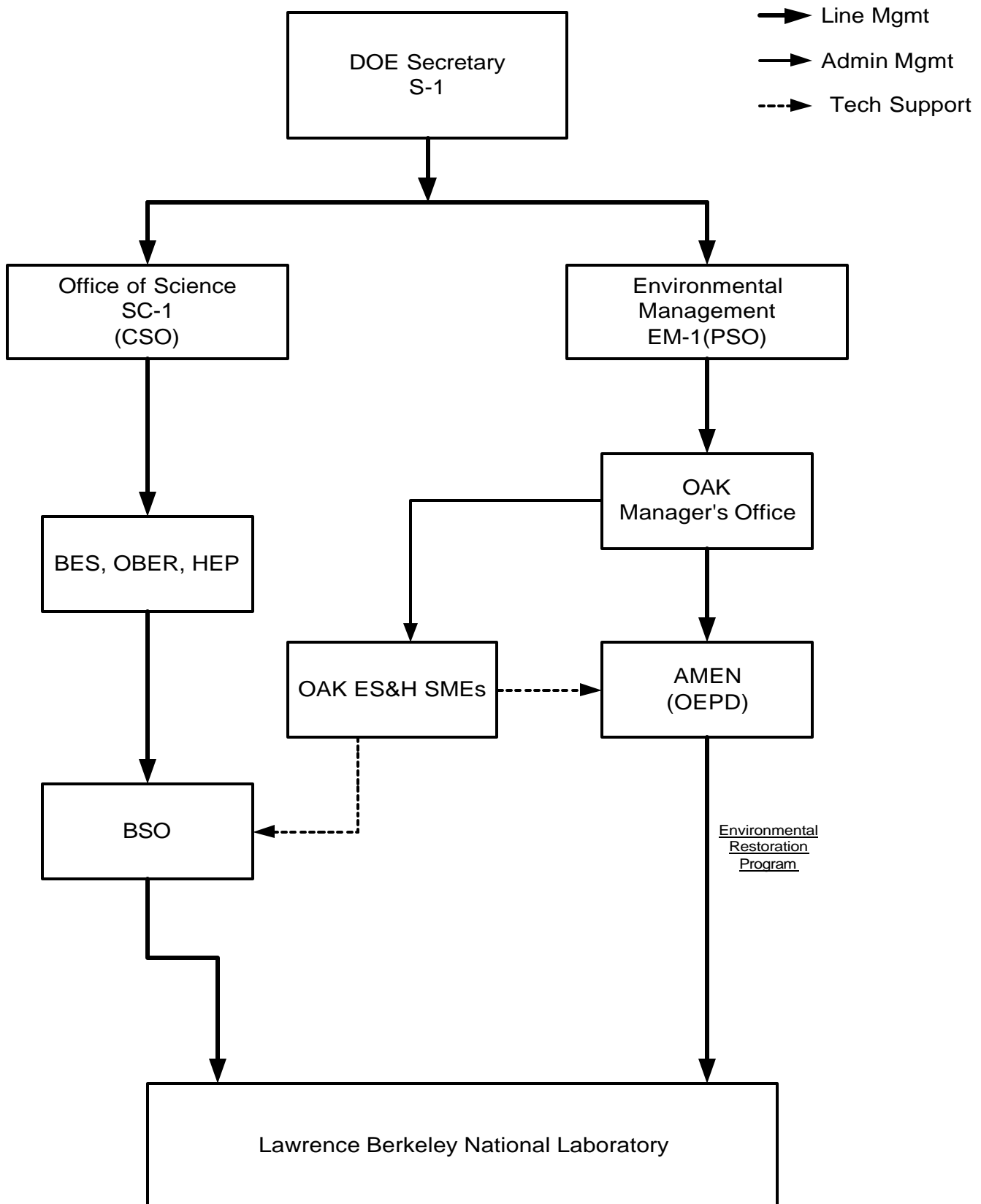
### **Lawrence Berkeley National Laboratory**

LBNL is a multiprogram laboratory sponsored by the Office of Science (SC) and located in the city of Berkeley. At LBNL, program responsibilities are assigned as follows: SC programs, including the Waste Management program, are assigned to the BSO, Environmental Restoration programs are assigned to the OEPD within AMEN, and all other programs are assigned to BSO. The BSO and OEPD are responsible for assuring the safe operation of program activities at LBNL. The BSO is responsible for the safeguards and security activities at LBNL, with support from the OAK Safeguards and Security Division. Where required, these organizations will have Facility Representatives (FR)/Facility Operations Engineers (FOE) to assess ES&H for programmatic operations. The BSO Director is the Cognizant Program Manager and is responsible for the ES&H infrastructure at LBNL and for assuring the safe and secure operations of institutional facilities not assigned to a specific program.

The Office of Basic Energy Sciences, the Office of Biological and Environmental Research, and the Division of High Energy Physics have programmatic, ES&H and budgetary responsibilities for LBNL. SC has delegated operational responsibilities to the BSO Director. The ES&H line management responsibility flows down from the SC program offices to the BSO. In carrying out operational and ES&H responsibilities, BSO also supports SC to ensure programs are implemented as directed. SC has delegated project management authority to BSO to effectively implement and manage SC construction activities. OAK/OEPD is responsible for construction activities for the Environmental Restoration program.

The BSO provides integrated ES&H and security oversight at LBNL mainly through operational awareness activities. BSO FOEs have been assigned ES&H responsibilities for LBNL facilities. Oversight is accomplished by the FOEs with support from the OAK matrix. The OAK matrix provides the necessary ES&H and security technical support to the program managers and BSO.

**ES&H Line Management for LBNL**

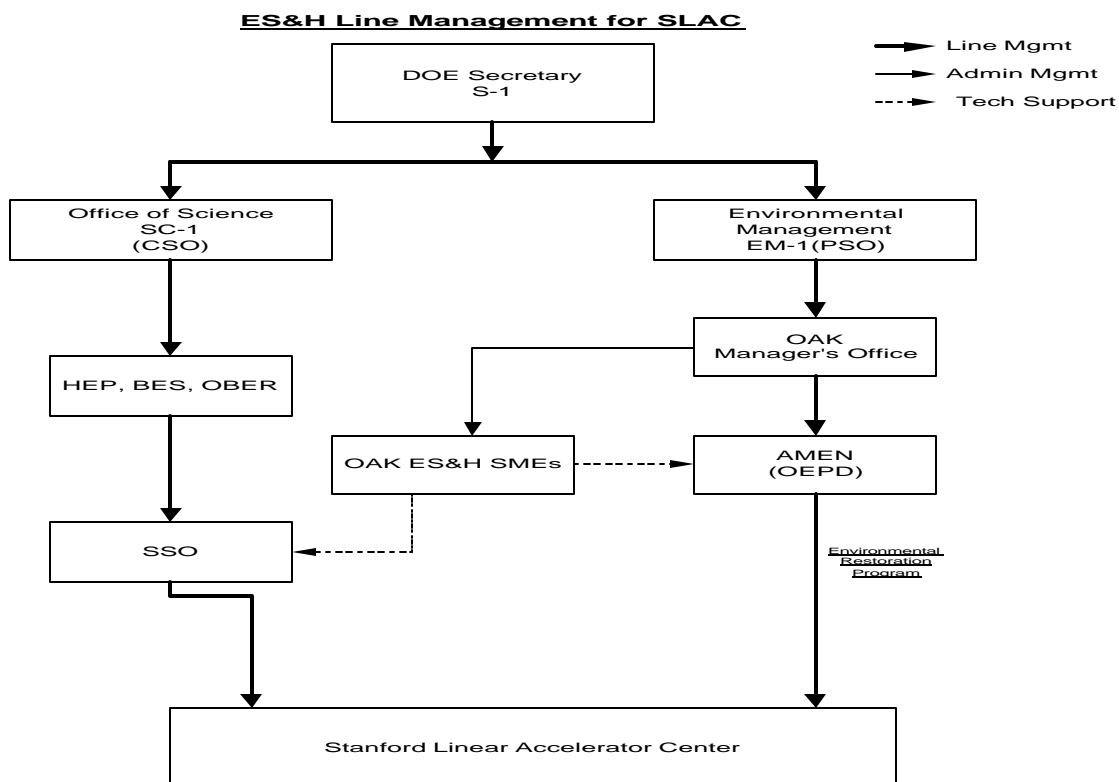


## Stanford Linear Accelerator Center

The Stanford Linear Accelerator Center (SLAC) is a single purpose laboratory sponsored by Office of Science (SC) and located in Menlo Park. At SLAC, program responsibilities are assigned as follows: SC programs, including the Waste Management program, are assigned to the SSO, and Environmental Restoration programs are assigned to OEPD within the AMEN. The SSO and OEPD are responsible for assuring the safe operation of program activities at SLAC. The SSO is responsible for the safeguards and security activities at SLAC, with support from the OAK Safeguards and Security Division. Where required, these organizations will have Facility Representatives (FR)/Facility Operations Engineers (FOE) to assess ES&H for programmatic operations. The SSO Director is the Cognizant Program Manager and is responsible for the ES&H infrastructure at SLAC and for assuring the safe operations of institutional facilities not assigned to a specific program.

The Division of High Energy Physics, the Office of Basic Energy Sciences, and the Office of Biological and Environmental Research have programmatic, ES&H and budgetary responsibilities for SLAC. SC has delegated operational responsibilities to the SSO Director. The ES&H line management responsibility flows down from the SC program offices to the SSO. In carrying out operational and ES&H responsibilities, SSO also supports SC to ensure programs are implemented as directed. SC has delegated project management authority to SSO to effectively implement and manage SC construction activities. OAK/OEPD is responsible for construction activities for the Environmental Restoration program.

The SSO provides integrated ES&H and security oversight at SLAC mainly through operational awareness activities. SSO FOEs have been assigned ES&H responsibilities for SLAC facilities. Oversight is accomplished by the FOEs with support from the OAK matrix. The OAK matrix provides the necessary ES&H and security technical support to the program managers and SSO.



## **F. Other OAK Contractors**

The program division, which has contracted work, is responsible for determining the need for DOE ES&H requirements and oversight for all other contracts (e.g., LEHR, General Electric). Normally non-DOE regulators (i.e., OSHA, NRC) enforce their requirements for the contracted work and DOE's ES&H oversight is tailored accordingly. The OAK matrix provides the necessary ES&H technical support to the program divisions. However, LSOD provides the ES&H technical support for DP programs at non-M&O sites.

DOE Policy for when DOE should enforce its statutory authority for safety and health standards (i.e. DEAR 970-5304-2) is contained in DEAR 923.7002. In brief, the policy is to rely on external regulation unless the work at the contractor's site involves radioactive materials and the following three conditions are met:

- The DOE work can be segregated from the contractor's other work;
- The operation is of sufficient size to support its own safety and health services; and,
- The facility is government owned, or leased by and for the account of the government.

For application to specific contracts, GLD, CAPD, and ESHD should be consulted.

Notwithstanding DEAR 970-7002, if these contractors enter into Price Anderson Indemnification Agreements (DEAR 952.250-71) they are subject to enforcement by DOE under its Price Anderson rules. (Note: Activities regulated through a license by the NRC or a State under an Agreement with the NRC are excluded from the requirements in the DOE rules.)

## **G. Overseas Contractors and Operations**

The program division, which has contracted for the work, is responsible for determining the need for DOE ES&H oversight for international contracts (e.g., DRPK Spent Fuel Project, Russian Material Disposition, BN-350 Spent Fuel Project, etc.). These sites are governed by the regulatory oversight of the host country and DOE's ES&H requirements need to be tailored accordingly.

## **H. Management Agreements with Other DOE Organizations**

An April 7, 2001 Memorandum of Agreement between OAK, the Office of Science (SC), and the Deputy Administrator for Defense Programs (DP-1) delineates the roles and responsibilities of OAK, SC, BSO, and SSO in support of the continued execution of the SC mission. This agreement defines the contractual and support roles and responsibilities for OAK, BSO, and SSO for the operational oversight of LBNL, SLAC, and SC work at GA and LLNL.

An April 10, 2001 Memorandum of Understanding between the Acting NNSA Deputy Administrator for Defense Programs (DP-1) and the OAK Manager defines the responsibilities of, and organizational relationship between DP and OAK with respect to the NIF Project, and clarifies the interaction between OAK and ONIF.

An August 6, 1990 Management Agreement between the Nevada Operations Office (NV) and the San Francisco Operations Office (SAN-OAK's former name) delineates the working relationship and respective responsibilities of each office in respect to OAK Contractor operations at facilities under the jurisdiction of NV, including the Nevada Test Site. OAK has contract management authority and responsibilities for OAK contractors working at NV Sites and NV exercises Line Management Assessment and Facility Operations oversight and authorization.

#### **IV. Delegations**

The DOE FRAM and other DOE directives assign Field Elements specific authorities for ES&H activities. In addition individual CSOs and PSOs have delegated authorities by memorandum or through their organizational FRAM. As described in section II, the CSO is held accountable for ES&H at a particular site, and thus generally can delegate authority for specific ES&H functions at that site rather than the PSO who funds any specific work at the site. The delegations to OAK are listed in Appendix A. Most of the delegations are not specific to a site, thus it is the OAK Lead Organization's responsibility to ensure coordination with both the CSO and PSO (if different) when exercising a delegated authority.

Generally, the OAK Manager further delegates authorities for ES&H activities assigned by DOE directives or by delegation from CSOs/PSOs in the OAK FRAM. The OAK Manager may also delegate authorities by memorandum. Although authorities for specific ES&H activities have been delegated, line management responsibility for ES&H cannot be delegated and is shared by all OAK staff in the line management chain from the Manager to the Contractor.

## APPENDIX A: DETAILED FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES

Table 2. OAK Management Systems

This section contains the ES&H functions associated with corporate management of ES&H at OAK. These functions include those associated with the general management systems used by OAK as well as those associated with specific ES&H programs. These functions are all corporate (or crosscutting) in nature and are not specific to a site, contract, or program.

OAK MANAGEMENT SYSTEMS Table 2	
<b>1. OAK ES&amp;H MANAGEMENT SYSTEM (SMS)</b>	
<b>Function</b>	<p>Prepare and maintain SMS documentation for OAK that includes BSO, SSO and ONIF.</p> <p>There are various top level documents that implement OAK's SMS, these include the OAK SMS Description, OAK FRAM, OAK SD 110.1, OAK SD-STD-1063.93, OAK's mission statement, OAK's strategic plan, and OAK's ES&amp;H policy statement. All these documents must be prepared, maintained, approved, and contain provision for change control.</p>
<b>Lead Organization</b>	<ul style="list-style-type: none"> <li>- COS for the OAK mission and OAK strategic plan.</li> <li>- OAK ES&amp;H Committee for the OAK ES&amp;H Policy, OAK SMS Description, the OAK FRAM, and the OAK ES&amp;H Committee Charter.</li> <li>- HRMD for OAK SD 110.1.</li> <li>- LSOD for OAK-SD-STD-1063.1, "Facility Representative Program"</li> <li>- ESHD for OAK QA Plan</li> </ul>
<b>Authorities</b>	<p>OAK Manager approves all of these top-level documents.</p> <p>BSO and SSO Directors, ONIF Deputy Director concur on OAK FRAM and OAK Safety Management System Description</p>
<b>References</b>	<p>DOE FRAM 9.2.2.5, 9.5.2, 9.6.1.4, 9.6.2, DOE Orders 5400.1, 252.1, 360.1A, 414.1, 440.1A, 442.1, 451.1A, 452.1A, 452.2A, DOE P 450.4, DOE N 450.4</p>

**OAK MANAGEMENT SYSTEMS Table 2**

**2. DIRECTIVE SYSTEM**

<b>Function</b>	<p>Prepare, review, comment, approve, and disseminate DOE and OAK directives. Review and comment on proposed DOE rules. Process exemptions from DOE directives.</p> <p>This function includes review, comment, and dissemination of DOE directives, and preparation, approval, and dissemination of OAK directives. Inclusion of DOE directives in contracts is covered under the Identification of ES&amp;H Standards function. Also included is processing of contractor requests for exemptions to DOE directives. For exemptions and variances to the mandatory standards of DOE 440.1A an annual review is required.</p>
<b>Lead Organization</b>	<ul style="list-style-type: none"> <li>- IMD for DOE/OAK Policies, Orders, Notices, and Manuals system. (Acts as the OAK Directives POC.)</li> <li>- Responsible Divisions for ES&amp;H topics take the technical lead. (For assignment of specific topics see corporate coordination.)</li> <li>- ESHD acts as the Technical Standards Manager and in addition to the responsibilities in DOE O 252.1, coordinates all OAK comments on draft DOE Technical Standards.</li> <li>- Cognizant Program Managers for site wide exemptions or exemptions specific to institutional facilities.</li> <li>- Program Managers for exemptions specific to programmatic operations or facilities.</li> </ul>
<b>Authorities</b>	<ul style="list-style-type: none"> <li>- OAK Manager approves all OAK directives.</li> <li>- The Assistant Manager of the Responsible Division approves OAK comments on draft DOE directives.</li> <li>- BSO/SSO approve comments on draft DOE directives they submit to SC</li> <li>- The WSS Change Control Board approves exemptions for directives subject to the WSS process at LLNL.</li> <li>- ESHD approves exemptions to ES&amp;H directives at all other sites where OAK has that authority (either through DOE 251.1, individual DOE Orders, or by delegation from the PSO.)</li> </ul>
<b>References</b>	DOE FRAM 9.2.2.1-3, 9.4.1.3, DOE Orders 251.1, 5400.5, 5480.20A, 252.1 420.2A, 451.1A, 452.1A, 452.2A, 460.1A, DOE M 251.1-1A

**3. ASSESSMENT, FEEDBACK & IMPROVEMENT**

<b>Function</b>	Perform and document periodic self-assessment of OAK's performance of its ES&H responsibilities. Identify lessons learned. Track and implement corrective actions identified as a result of self-assessments and external assessments. Arrange for independent verification of corrective actions as necessary.
<b>Lead Organization</b>	<ul style="list-style-type: none"> <li>- Each organization performing ES&amp;H functions for organization self assessment, identifying lessons learned, and tracking and implementing organization specific corrective actions to all assessments.</li> <li>- OAK ES&amp;H committee for OAK-wide ES&amp;H self assessment summaries.</li> <li>- BSO/SSO for BSO/SSO ES&amp;H self assessment summaries.</li> <li>- For external assessments the Lead Organization is determined on a case by case basis, but is usually the organization with corporate coordination responsibility (see below) for OAK wide assessments, the Cognizant Program Manager for site specific assessments, or the Program Manager for facility or program specific assessments. This Lead Organization is responsible for maintenance of the DOE Corrective Action Tracking System (CATS) and arranging for independent verification of completion of corrective actions as necessary.</li> <li>- ESHD is the lead for maintaining the OAK Lessons Learned Program.</li> </ul>
<b>Authorities</b>	<ul style="list-style-type: none"> <li>- OAK ES&amp;H Committee approves the OAK-wide self-assessment and OAK wide corrective actions.</li> <li>- The Lead Organization approves other corrective actions.</li> </ul>
<b>References</b>	DOE FRAM 9.6.1.4, 9.6.2, DOE Order 414.1, DOE ES&H Self-Assessment Guide, OAK ES&H Self-Assessment Guidelines, OAK Total Quality Improvement Program

**OAK MANAGEMENT SYSTEMS Table 2**

**4. CORPORATE COORDINATION AND TECHNICAL SUPPORT**

<b>Function</b>	<p>Provide subject matter technical expertise to other organizations</p> <p>This function includes providing a corporate focal point for various programs and technical ES&amp;H issues, including such activities as coordinating comments on non-program, non-site specific technical documents; acting as a point of contact for EH, regulatory agencies, and industry/professional organization for non-program non-site specific issues; review and disseminate new regulations, technical standards, lessons learned, etc. to other organizations; and acting as a central collection point for reports required of all sites..</p>
<b>Lead Organization</b>	<ul style="list-style-type: none"> <li>- ONIF for aviation safety.</li> <li>- OEPD for transportation safety (other than aviation safety) and packaging.</li> <li>- OEPD/LEPD for waste management, including support to waste generators.</li> <li>- HRMD for technical training.</li> <li>- EFM for life cycle asset management including maintenance.</li> <li>- OEPD/LEPD for CERLCA and RCRA Corrective Actions</li> <li>- LSOD for explosives safety, non-nuclear safety analysis and emergency management.</li> <li>- NST for DNFSB Point of Contact, nuclear safety, and criticality safety.</li> <li>- ESHD for Integrated Safety Management, Lessons Learned , Quality Assurance and all other ES&amp;H areas.</li> </ul>
<b>Authorities</b>	Not Applicable
<b>References</b>	DOE FRAM 9.2.2.1-4, 9.2.2.6, 9.6.1.6, 9.6.3.4, DOE Orders 5400.1, 5480.21, 5480.22, 5480.23, 5480.4, 5610.12, 232.1A, 252.1, 360.1A, 420.1, 430.1A, 440.1A, 451.1A, 452.1A, 460.1A, DOE M 251.1-1A, DOE M 140.1-1A

**5. OAK TRAINING**

<b>Function</b>	<p>Identify needs and supply training to federal employees.</p> <p>This function includes all activities involved with training and development of federal employees. Technical qualification programs of federal employees include the DOE-wide Technical Qualification Program (TQP) for scientists and engineers with oversight responsibility for defense nuclear facilities, and the Facility Representative Program, which is a functional area within the TQP, with a focus on specific high-hazard facilities. Facility Representatives are qualified in accordance with OAK SD 1063.1 and OAK Facility Representative Training Manual. TQP participants qualify in accordance with the OAK TQP Plan.</p>
<b>Lead Organization</b>	<ul style="list-style-type: none"> <li>- HRMD for OAK's training system and process administration, and for various employee development programs; the Training Manager is the Senior Training Official for OAK.</li> <li>- Cognizant division for training of Subject Matter Experts.</li> <li>- Each division for the training of their personnel, including special education requirements.</li> <li>- LSOD for Facility Representative training.</li> <li>- Technical Qualification Council supports the Federal Technical Capability Program, including oversight of the TQP.</li> </ul>
<b>Authorities</b>	<ul style="list-style-type: none"> <li>- Each supervisor approves each employee's Individual Development Plan and training requests for training in support of mission needs. Ensures employees are qualified to perform their duties; provides employees adequate time and training for completion of the TQP competency requirements or other training required by the position.</li> <li>- Training Manager or designee approves training requests for conformance with requirements of DOE O 360.1A, Federal Employee Training.</li> </ul>
<b>References</b>	DOE FRAM 9.1.6, Federal Technical Capability Manual (1/00), The Revised Implementation Plan for Improving DOE Technical Capability in Defense Nuclear Facility Programs, DOE Orders 360.1A, 5610.12, 225.1A, 442.1, DOE-STD-1063-97, and OAK TQP Plan (2/00).

**OAK MANAGEMENT SYSTEMS Table 2**

<b>6. FEDERAL EMPLOYEE OCCUPATION SAFETY AND HEALTH PROGRAM (FEOSH)</b>	
<b>Function</b>	Implement a FEOSH program, consistent with DOE's Integrated Safety Management Policy, for OAK/BSO/SSO/ONIF Field Element employees
<b>Lead Organization</b>	<ul style="list-style-type: none"> <li>- ESHD for overall program management</li> <li>- Each supervisor for integrating safety and health into their work processes.</li> </ul>
<b>Authorities</b>	<ul style="list-style-type: none"> <li>- OAK Manager approve OAK FEOSH Program documents</li> <li>- BSO/SSO Directors concur on OAK FEOSH Program documents.</li> <li>- Each employee can stop work in their work place when, in their best judgment, an imminent danger situation exists.</li> </ul>
<b>References</b>	29 CFR 1960, DOE P 450.4, DOE Orders 440.1A, 3790.1B Chapter VIII, 3791.2A, 442.1, 231.1, OAK FEOSH Manual
<b>7. EMPLOYEE CONCERNS</b>	
<b>Function</b>	<p>Investigation of Concerns from contractor or federal employees.</p> <p>Both contractor and federal employees may raise ES&amp;H concerns or complaints to DOE. These concerns/complaints need to be investigated and resolved. The Employee Concerns Manager may refer some concerns/complaints to other organizations. The employee concern program will cover all OAK sites as well as LBNL and SLAC.</p>
<b>Lead Organization</b>	<ul style="list-style-type: none"> <li>- EEO Program Manager for the overall employee concerns program.</li> <li>- ESHD for investigation and resolution of technical ES&amp;H portion of any contractor or federal employee concern/complaint.</li> <li>- HRMD for investigation and resolution of any whistle blower complaints.</li> <li>- Program Managers for any contractor corrective actions resulting from these investigations.</li> <li>- Each organization for any corrective action resulting from an investigation of a federal employee complaint about a federal workplace.</li> </ul>
<b>Authorities</b>	<ul style="list-style-type: none"> <li>- ESHD appoints the ES&amp;H Employee Concerns Manager to perform the duties of DOE 442.1 and OAK Implementing Procedure.</li> <li>- HRMD acts as the OAK Manager's and SSO/BSO/ONIF Directors' designee in the informal resolution process per 10 CFR 708.</li> </ul>
<b>References</b>	DOE 442.1, OAK Implementing Procedure, 10 CFR 708

**OAK MANAGEMENT SYSTEMS Table 2**

<b>8. ACCIDENT INVESTIGATION</b>	
<b>Function</b>	<p>Accident categorization, investigation, and completion of DOE approved corrective Actions. Identifying/maintaining a cadre of qualified Accident Chairpersons and Investigators.</p> <p>Detailed OAK functions can be found in Oakland Operations Office Process and Procedures for Conducting Accident Investigations (AI).</p>
<b>Lead Organization</b>	<ul style="list-style-type: none"> <li>- ESHD for maintaining the OAK AI program.</li> <li>- Cognizant Program Managers/Program Managers for reviewing Corrective Action Plans, verifying completion of corrective actions, and maintaining the DOE Corrective Action Tracking System (CATS).</li> <li>- OAK Manager or BSO/SSO Directors, through the AI Team Chairperson, for Type B and delegated Type A investigations.</li> <li>- OAK Manager or BSO/SSO Directors for participation in meetings briefing the Secretary and PSOs.</li> </ul>
<b>Authorities</b>	<ul style="list-style-type: none"> <li>- The OAK Manager appoints Type B investigation team and approves Type B investigation reports for all OAK sites and ONIF.</li> <li>- The OAK Manager closes recommendations from Type A and B investigations for all OAK sites and ONIF.</li> <li>- BSO/SSO Directors appoint Type B investigation Teams and approve Type B investigation reports for LBNL and SLAC.</li> <li>- BSO/SSO Directors close recommendations from Type A and B investigations for LBNL and SLAC.</li> <li>- Secretarial Officers approve corrective action plans from Type A and B investigations (EH reviews and comments).</li> <li>- DP-1 has delegated the authority for approval of Corrective Action Plans to the OAK Manager through the DP FRAM. This authority is further delegated by this document to the AMNS.</li> </ul>
<b>References</b>	DOE FRAM 9.6.1.5, DOE Orders 225.1A, 442.1, DOE Manuals 225.1A-1, 435.1-1, Oakland Operations Office Process and Procedures for Conducting Accident Investigations (AI)
<b>9. EMERGENCY PREPAREDNESS</b>	
<b>Function</b>	<p>Implement OAK's regional and site emergency preparedness and response duties.</p> <p>OAK has been assigned certain regional emergency response duties (e.g. Radiological Assistance Program) in the support of federal and state agencies. Additionally, OAK/BSO/SSO have responsibilities during emergencies at DOE sites that include participating in the contractor EOC, notification of HQ EOC and other parties, etc.</p>
<b>Lead Organization</b>	<ul style="list-style-type: none"> <li>- COS for OAK's regional and corporate responsibilities (including the OAK ECC) supported by LSOD.</li> <li>- Site Offices for site emergency response activities and duty officer.</li> <li>- LSOD for ARAC program management and other emergency response programs (e.g. RAP).</li> <li>- OPA for public affairs requirements.</li> </ul>
<b>Authorities</b>	<ul style="list-style-type: none"> <li>- OAK Manager or designee acts as the Manager of the DOE Emergency Communication Center at LLNL.</li> <li>- The Cognizant Program Manager or designee acts as the DOE decision maker in the contractor's EOC.</li> <li>- The Cognizant Program Manager approves Site Emergency Plans (and other site emergency planning documents as required.)</li> <li>- LSOD concurs with the Cognizant Program Manager's approval of all site emergency planning documentation.</li> </ul>
<b>References</b>	DOE Orders 151.1, 225.1A, 5530.1A, 5530.2, 5530.3, 5530.4, 5530.5, OAK Emergency Plan

Table 3. Contract Management Table

This section contains the ES&H functions associated with one of the core functions assigned to OAK, that of contract management. The contract management activities include negotiation, award, administration, and ES&H oversight of laboratory performance based contracts, industrial contracts, grants, and cooperative agreements. How the ES&H functions below are accomplished may vary from contract to contract depending on the hazard and complexity of the work to be accomplished and the regulatory bodies involved.

CONTRACT MANAGEMENT – TABLE 3	
<b>1. PROCUREMENT</b>	
<b>Function</b>	<p>Include appropriate ES&amp;H contract clauses and performance incentives in contracts. Ensure the proper NEPA requirements are completed.</p> <p>ES&amp;H requirements need to be identified during all phases of contract award and administration. The selection of specific ES&amp;H standards to be included in the contract is covered under function 3 in this Table.</p>
<b>Lead Organization</b>	<ul style="list-style-type: none"> <li>- Program Managers for program specific procurements.</li> <li>- Cognizant Program Managers for multiprogram procurements (i.e. M&amp;O contracts).</li> </ul>
<b>Authorities</b>	<ul style="list-style-type: none"> <li>- The Lead Organization (see above) approves all ES&amp;H clauses and performance incentives during all phases of contract award and administration.</li> <li>- ESHD concurs on environmental and safety and health clauses.</li> <li>- NEPA Compliance Officer concurs on NEPA requirements for the contracted work.</li> <li>- Contracting Officer initiates/negotiates/modifies contract.</li> </ul>
<b>References</b>	OAK SD 4210, DOE FRAM 9.1, 9.2.2.4, 9.5.2, DOE Order 451.1A
<b>2. CONTRACTOR ES&amp;H MANAGEMENT SYSTEMS</b>	
<b>Function</b>	<p>Approve Integrated Safety Management System (SMS) description and related documents.</p> <p>DEAR Clause 48 CFR 970.5304-2, Integration of ES&amp;H into Work Planning and Execution, requires Contracting Officer approval of contractor Integrated Safety Management System descriptions. The SMS should ensure that a effective and efficient maintenance program is developed and implemented for all DOE property that is consistent with DOE's mission, safety and health, reliability, quality, and environmental objectives. Additionally, certain DOE Orders require approval of contractor plans or procedures that may be part (explicitly or implicitly) of their ISMS description. Where contractually implemented, these documents should be reviewed and approved annually by the Contracting Officer.</p>
<b>Lead Organization</b>	Cognizant Program Managers have the lead for ISMS documents.
<b>Authorities</b>	<ul style="list-style-type: none"> <li>- Contracting Officers approve the ISMS description and system.</li> <li>- Baseline Change Control is delegated to the Cognizant Program Managers.</li> <li>- Cognizant Program Managers approve the following contractor documents: Conduct of Operations Program Plan, Quality Assurance Plan (where delegated by the CSO), Onsite Transportation Documents, Annual Site Environmental Report and other site wide ES&amp;H documentation requiring DOE approval.</li> </ul>
<b>References</b>	DOE G 450.4-1, DOE P 450.4, DOE N 450.4, 10 CFR 830.120, DOE FRAM 9.1.4.2, 9.2.2.6, 9.2.4, 9.5.3, 9.6.1.1, DOE Orders 5480.19, 5480.20A, 151.1, 231.1, 414.1, 452.1A, 460.1A, DOE Manual 435.1-1, 48 CFR 970.5304-2, Contract Clauses

CONTRACT MANAGEMENT – TABLE 3	
<b>3. IDENTIFICATION OF ES&amp;H STANDARDS</b>	
<b>Function</b>	Approve/Maintain a list of ES&H Standards in the contract applicable to a site and/or individual activities on that site.
<b>Lead Organization</b>	<ul style="list-style-type: none"> <li>- Cognizant Program Managers for site wide activities and institutional facilities.</li> <li>- Program Managers for programmatic activities and facilities (above and beyond the standards that apply site wide).</li> <li>- CAPD for the contractual process for review of new ES&amp;H directives and standards.</li> </ul>
<b>Authorities</b>	<ul style="list-style-type: none"> <li>- DP-1 has delegated this approval authority to OAK Manager in the DP FRAM.</li> <li>- EM-1 has delegated this approval authority to the OAK Manager in a memo dated 7/28/97.</li> <li>- SC-20 has delegated this approval authority to the BSO/SSO Directors in a memo dated 3/1/01.</li> <li>- Contracting Officers modifies contracts to incorporate applicable ES&amp;H directives and standards.</li> </ul>
<b>References</b>	DOE P 450.2A, DOE P 450.3, DOE M 450.3-1, DOE FRAM 9.4.1.2, 9.6.1.2-3, DOE Orders 5400.1, 5400.5, 5480.21, 5480.22, 5480.23, 5480.4, 5530.1A, 5530.2, 5530.3, 5530.4, 5530.5, 210.1, 225.1A, 231.1, 232.1A, 252.1, 420.1, 420.2A, 425.1B, 440.1A, 442.1, 452.1A, 460.1A, 460.2, Contract Clauses
<b>4. AUTHORIZATION AGREEMENTS</b>	
<b>Function</b>	<p>Approval, verification and maintenance of authorization agreements (AA).</p> <p>Authorization agreements specify contractually binding commitments relating to design, operation, and administrative controls that govern the conduct of an activity or operation of highly hazardous facilities (Category 2 non-reactor nuclear facilities and other facilities as designated by the cognizant Assistant Manager or BSO/SSO Director.).</p>
<b>Lead Organization</b>	<ul style="list-style-type: none"> <li>- NST to oversee the OAK policy and evaluation process for OAK nuclear facilities AAs.</li> <li>- Program Managers/Operations Team Leads for programmatic activities and facilities.</li> </ul>
<b>Authorities</b>	<ul style="list-style-type: none"> <li>- Cognizant Assistant Manager or BSO/SSO Director identifies if a facility requires an AA every other year.</li> <li>- AAs are approved by the approval authority for the Authorization Basis.</li> <li>- Contracting Officers modify the contract to include the approved authorization agreement.</li> </ul>
<b>References</b>	DOE FRAM 9.4.1.2, 9.4.3.3, DOE P 450.4, DOE G 450.4-1A, DOE/OAK/AMLS/AMEN SOP “Authorization Agreement Development, Verification and Maintenance”
<b>5. LINE MANAGEMENT ASSESSMENT OF CONTRACTORS</b>	
<b>Function</b>	<p>Prepare and Implement Assessment Management Plans.</p> <p>Assessment Management Plans (AMP), and Operational Awareness Implementation Plans that implement the AMPs, describe the activities that will be used to assess contractor ES&amp;H performance over the next fiscal year. These activities could include assessment of contractual performance measures, operational awareness activities including Facility Representative activities, and formal appraisal/inspections. Cognizant Program Managers prepare the plan based on input collected from OAK program organizations and OAK technical experts. The Site Office supported by technical experts from the OAK matrix then implements the plan.</p>
<b>Lead Organization</b>	<ul style="list-style-type: none"> <li>- Cognizant Program Manager for AMP preparation.</li> <li>- Program Managers for AMP implementation.</li> </ul>

CONTRACT MANAGEMENT – TABLE 3	
5. LINE MANAGEMENT ASSESSMENT OF CONTRACTORS (CONT.)	
<b>Authorities</b>	<ul style="list-style-type: none"> <li>- Cognizant Program Manager approves the AMP.</li> <li>- Cognizant Program Managers/Program Division Directors Assign Facility Representatives/Facility Operations Engineers.</li> <li>- Each OAK employee can stop contractor work when, in their best judgment, they identify an imminent threat of danger to the life or health of any individual. Facility Representatives have additional stop work authorities delineated in OAK SD 1063.1 and Contracting Officers Directive 98-1 for contract W-7405-ENG-48.</li> <li>- Program Managers/Cognizant Program Managers approve closure of all assessment findings.</li> </ul>
<b>References</b>	DOE Orders, 4330.4B, 5400.1, 5400.5, 5480.19, 5480.20A, 5480.21, 5480.22, 5480.23, 5610.12, 5820.2A, 151.1, 210.1, 225.1A, 232.1A, 414.1, 420.1, 420.2A, 425.1, 430.1A, 440.1A, 440.2, 442.1, 452.1A, 460.1A, 460.2; DOE P 450.5; and DOE FRAM 9.1, 9.4.3.2, 9.4.4, 9.5.2, 9.5.3, 9.6.1.1, 9.6.1.3, 9.6.1.4, 9.6.3.2, 9.6.3.3, DOE Manual 435.1-1, OAK Performance-based Management Guide
6. External Assessment of Contractors and OAK	
<b>Function</b>	<p>Coordination of and Response to Independent Assessments</p> <p>Independent assessments may be conducted by EH (enforcement), EH (independent), OA, external regulatory agencies, DNFSB, IG, GAO, etc. OAK's role is coordination of the assessment, ensuring unfettered access for the reviewers, review and approval of the contractor's response to the assessment, tracking and validation of contractor corrective actions, preparation of an OAK response if required, and arranging for independent validation of OAK corrective actions when necessary. OAK is also required to approve payment of fines/penalties levied by external regulators on contractors.</p>
<b>Lead Organization</b>	<ul style="list-style-type: none"> <li>- For external assessments the Lead Organization is determined on a case by case basis, but is usually the organization with corporate coordination responsibility (see Table 2) for OAK wide assessments, the Cognizant Program Manager for site specific assessments, or the Program Manager for facility or program specific assessments. This Lead Organization is responsible for maintenance of the DOE Corrective Action Tracking System (CATS) and arranging for independent verification of completion of corrective actions as necessary.</li> <li>- BEPD for IG and GAO assessments.</li> <li>- LSOD for EH (enforcement) assessments at LLNL Site. ESHD for all other EH (enforcement) assessments at OAK Sites subject to PAAA.</li> <li>- The AMNS Nuclear Safety Team for DNFSB interactions except for NIF</li> <li>- ONIF for DNFSB interactions regarding NIF.</li> </ul>
<b>Authorities</b>	<ul style="list-style-type: none"> <li>- OAK Manager approves any response made by OAK to independent assessments. This authority may be delegated on a case by case basis.</li> <li>- BSO/SSO/ONIF Directors approve any response made by their respective organizations to independent assessments.</li> <li>- The Contracting Officer determines allowability/unallowability of fines/penalties and related costs.</li> <li>- ESHD and LSOD Directors appoint their respective PAAA Coordinators.</li> <li>- AMNS appoints the OAK DNFSB Point of Contact.</li> </ul>
<b>References</b>	DOE FRAM 9.6.3.2, 9.6.3.3, 9.6.3.4, AEA, PAAA, DOE O 430.1A, DOE M 435.1-1, DOE M 140.1A, OAK Charter for DNFSB Interface (AMNS/NST)

#### Table 4. Program Execution

This section contains the ES&H functions associated with another of the core functions assigned to OAK, that of program execution. Program execution involves program integration and the implementation of designated programs by working closely with HQ and contractors to identify needs, establish performance objectives, formulate budgets, secure adequate resources, manage execution, control changes, assess accomplishments, and validate performance. The program execution functions assigned to OAK by HQ vary from program to program, but in every case includes responsibility for managing operations including ES&H execution. How the ES&H functions below are accomplished may vary from program to program depending on the work and the hazards identified. The Table begins on the next page.

PROGRAM EXECUTION – TABLE 4	
<b>1. PROGRAM EXECUTION</b>	
<b>Function</b>	<p>Including ES&amp;H in Program Operations decisions.</p> <p>ES&amp;H should be integrated into program execution activities. Particular areas where the DOE FRAM assign responsibilities to the field include budget, allocation of resources, statements of work, and program guidance. This function includes providing input to PSOs/CSOs/LPSOs on the adequacy of budgets to support ES&amp;H (normally through review of the ES&amp;H Management Plan) and landlord activities. Program Managers are responsible to keep the Cognizant Program Manager informed of programmatic activities occurring at his/her site. Likewise, the Cognizant Program Manager has a responsibility to maintain an understanding of programmatic ES&amp;H activities and priorities.</p>
<b>Lead Organization</b>	<p>BUD coordinates and oversees the development and execution of all M&amp;O contractor budgets.</p> <p>Program Divisions and Cognizant Program Managers as assigned (See Table 5 and 6) for all other activities under this function.</p>
<b>Authorities</b>	<p>BUD issues funding guidance to M&amp;O contractors, including guidance on how ES&amp;H should be addressed in budget submittals (i.e. the ES&amp;H Management Plan). Additional guidance, beyond the Unicall, may be issued to contractors by the CSOs through the appropriate CPM at OAK.</p> <p>For EM programs: The AMEN approves all submittals to headquarters concerning budgets, allocation of resources, and program guidance matters. Program divisions have authority to reallocate funding between projects within their program, issue program letters to contractors whenever there are funding changes, and approve statements of work within the contract.</p> <p>For SC programs: BSO or SSO reviews all submittals to headquarters concerning budgets, allocation of resources, and program guidance matters. BSO or SSO approve Work Authorization Sheets to allocate funding to their programs, issue authorization letters to contractors, and develop and approve statements of work within the contract.</p> <p>For DP programs: The assigned program division reviews all submittals to headquarters concerning budgets, allocation of resources, and program guidance matters. Program divisions approve Work Authorization Sheets to allocate funding to their programs, issue authorization letters to contractors, and develop and approve statements of work within the contract.</p> <p>For NN/NE/MD/EE programs: The assigned program division reviews all submittals to headquarters concerning budgets, allocation of resources, and program guidance matters. The program division approves Work Authorization Sheets to allocate funding to their programs, issue authorization letters to contractors, and develop and approve statements of work within the contract.</p>
<b>References</b>	<p>DOE FRAM 9.1.3-5, 9.2.1, 9.2.3-4 DOE Orders 135.1, 5400.1, 5480.20A, 5480.21, 5480.22, 5480.23, 5530.3, 151.1, 420.1, 420.2A, 430.1A, 440.1A, 451.1A, 452.4, 10CFR 830</p>

**PROGRAM EXECUTION – TABLE 4**

**2. NEPA**

<b>Function</b>	<p>Preparation and approval of NEPA documents.</p> <p>The preparation and approval of NEPA documents is a federal function that is intended to present the environmental impacts of a proposed action to the decision maker.</p>
<b>Lead Organization</b>	<ul style="list-style-type: none"> <li>- Program Managers for preparation of NEPA documents for programmatic activities and facilities.</li> <li>- Cognizant Program Managers for preparation of NEPA documents for site wide activities.</li> <li>- ESHD for NEPA Compliance Officer responsibilities (see DOE O 451.1A).</li> </ul>
<b>Authorities</b>	<ul style="list-style-type: none"> <li>- OAK NEPA Compliance Officer approves Categorical Exclusions.</li> <li>- OAK Manager (as HFC) approves Environmental Assessments, Supplement Analyses, and Findings of No Significant Impact (FONSI) for Environmental Assessments.</li> <li>- Environmental Impact Statements, Supplements to Environmental Impact Statements, and Record of Decisions for EISs are approved by the PSO.</li> </ul>
<b>References</b>	10 CFR 1021, DOE Orders 451.1A, 231.1

**3. DESIGN REVIEWS FOR NEW PROJECTS OR FACILITIES**

<b>Function</b>	<p>Review of design documentation.</p> <p>The level of ES&amp;H review of design documentation is determined by the project manager based on the hazard, cost, and complexity of the project.</p>
<b>Lead Organization</b>	<ul style="list-style-type: none"> <li>- Program Managers for programmatic activities and facilities.</li> <li>- Cognizant Program Managers for institutional facilities.</li> </ul>
<b>Authorities</b>	Lead Organizations (see above) determine the need for design reviews by DOE and approve disposition of DOE design review comments.
<b>References</b>	DOE FRAM 9.4.2.2, DOE Orders 413.3

**PROGRAM EXECUTION – TABLE 4**

#### 4. AUTHORIZATION BASES

Authorization basis documents include safety analysis reports, safety analysis documents, basis of interim operations, radioactive waste management basis, etc. The type of documents that will constitute the authorization basis will vary with the type and magnitude of hazards and complexity of operations. The contract (or ES&H standards contained therein) will normally indicate the type of authorization basis documents required. Preparation of a Safety Evaluation Report documenting the review of the authorization basis may be required for some facilities or operations. When HQ is the approval authority, results of OAK's review will be provided to the approval authority. Functions, responsibilities, and authorities for different types of authorization basis documents are detailed below.

##### 4A) Hazard Classification

<b>Function</b>	<p>Approve Facility/Activity Hazard Classification</p> <p>All facilities/activities are classified according to hazard, which partially determines the standards applied to the operations and the level of DOE involvement in its authorization. For new facilities/activities, the initial hazard classification determines the level of analysis required. The final hazard classification is based on the final safety basis documentation. The Site Office maintains a master list of the classification of all facilities/activities at the site.</p>
<b>Lead Organization</b>	<ul style="list-style-type: none"> <li>- NST for OAK Policy and Procedures governing the review and approval of nuclear safety analysis documentation including Hazards Classification/ Categorization.</li> <li>- Program Managers for programmatic activities and facilities.</li> <li>- Cognizant Program Managers for site wide activities and institutional facilities.</li> </ul>
<b>Authorities</b>	<ul style="list-style-type: none"> <li>- Lead Organization (see above) approves all initial classifications and final classifications for non-radiological facilities (except accelerators).</li> <li>- DP-1 has delegated approval authority for final hazard classification for LLNL B-332 and for Category 3 nuclear facilities to the OAK Manager in memos dated 5/6/94 and 7/10/92 respectively. The OAK Manager has redelegated this authority to the AMNS in a memo dated 10/5/99.</li> <li>- DP-1 has delegated approval authority for final hazard classification of accelerators to the OAK Manager in memos dated 2/16/96 and 3/28/01.</li> <li>- EM-1 has delegated approval authority for final hazard classification for Category 2 &amp; 3 nuclear facilities and radiological facilities to the AMEN in memos dated 1/10/01 and 4/3/01.</li> <li>- SC-20 has delegated approval authority for final hazard classification for radiological facilities (except accelerators and when categorization is based on analysis rather than inventory) to the BSO/SSO Directors in a memo dated 3/1/01.</li> <li>- CSO approves final classification for all other nuclear facilities.</li> <li>- Low, Moderate, and High Hazard Non-Nuclear Facilities (except Accelerators), Radiological Facilities, and Accelerators without the potential for more than minor onsite or negligible offsite consequences: OAK Lead Organization (see above) approves the classification. (PSO approves for other accelerators.)</li> </ul>
<b>References</b>	<p>10 CFR 830 Subpart B, DOE Standard 1027, SAN MD 5481.1A, OAK SD 5481.1B, 10 CFR 830, DOE FRAM 9.3.1, 9.3.2, 9.4.1.2, 9.4.1.6; 9.4.2.2, 9.4.3.2, DOE Orders 151.1, 420.2A, 5480.23</p>

**PROGRAM EXECUTION – TABLE 4**

**4B) Safety Analysis Documentation**

<b>Function</b>	<p>Review and Approval of Safety Analysis Documentation and/or Radioactive Waste Management Basis</p> <p>The level of safety analysis required will vary for different activities depending on the hazards associated with the activity, and the complexity of the activity. Some activities may not require any formally documented safety analyses.</p>
<b>Lead Organization</b>	<ul style="list-style-type: none"> <li>- NST for OAK Policy and Procedures governing the review and approval of nuclear safety analysis documentation including Hazards Classification.</li> <li>- LSOD for OAK Policy and Procedures governing the review and approval of non-nuclear safety analysis documentation including Hazards Classification.</li> <li>- Program Managers for programmatic activities and facilities.</li> <li>- Cognizant Program Managers for site wide activities and institutional facilities.</li> <li>- LEPD for Packaging analyses.</li> </ul>
<b>Authorities</b>	<ul style="list-style-type: none"> <li>- Category 2 Nuclear Facilities: DP-1 has delegated the approval authority for LLNL Building 332's safety analysis report to the OAK Manager in memos dated 5/6/94 and 3/28/01. The OAK Manager has redelegated this authority to AMNS in a memo dated 10/5/99.</li> <li>- Category 3 Nuclear Facilities: DP-1 has delegated approval authority to the OAK Manager in memos dated 7/10/92 and 3/28/01. The OAK Manager has delegated the approval authority to the AMNS in memos dated 10/5/99.</li> <li>- Category 2 &amp; 3 Nuclear Facilities: EM-1 has delegated approval to the AMEN in memos dated 1/10/01 and 4/3/01.</li> <li>- SC-20 has delegated approval of SARs for Category 3 facilities to the BSO/SSO Directors in a memo dated 3/1/01.</li> <li>- EM-1 has delegated to the AMEN in memos dated 1/10/01 and 4/3/01, the approval of a methodology for preparation of a documented safety analysis that is not already listed in 10 CFR 830 Appendix A. All other CSOs have retained this authority. (Note: EH-1 concurrence required)</li> <li>- Low, Moderate, and High Hazard Non-Nuclear Facilities (except Accelerators), and Radiological Facilities: OAK Lead Organization (see above) determines the types of documents necessary and the necessary approval level.</li> <li>- Accelerators require a Safety Analysis Document (SAD), the OAK Lead Organization (see above) determines the necessary approval level. (Note: DOE O 420.2A does require a finding of acceptable risk based on the SAD by DOE prior to operation)</li> <li>- Facilities and Activities with Hazards of the Order and Magnitude Routinely Accepted by the Public (e.g. "Other Industrial" from DOE-EM-STD-5502-94): Contractors approve these safety analysis documents.</li> <li>- OAK Manager appoints the OAK Aviation Manager, who approves Aviation Safety Documentation for OAK sites, LBNL and SLAC.</li> <li>- Cognizant Program Managers concur on any approval by program managers.</li> <li>- OAK Manager or BSO/SSO Directors approves Radioactive Waste Management Basis documents</li> </ul> <p><b>Note: Only CSOs can delegate approval authority for nuclear facilities.</b></p>
<b>References</b>	<p>10 CFR 830 Subpart B, Safety Management Guide, SAN MD 5481.1A, OAK SD 5481.1B, OAK Aviation Implementation Plan, DOE FRAM 9.3.1, 9.4.1.2, 9.4.1.6; 9.4.2.3, 9.4.3.2, DOE Orders 5480.23, 420.2A, 451.1A, 460.1A, SEN 35-91, DOE Manual 435.1-1, DOE/OAK/AMNS/AMEN SOP "Review and Approval of Nuclear Safety Documents"</p>

**PROGRAM EXECUTION – TABLE 4**

**4C) Technical Safety Requirements (TSR) Accelerator Safety Envelope (ASE), Operational Safety Requirements (OSR)**

<b>Function</b>	<p>Review and approve new and revisions to TSRs/ASEs/OSRs.</p> <p>TSRs/ASEs/OSRs are those requirements that define the bounding conditions and the management or administrative controls necessary to ensure safe operation of a facility. TSRs apply to nuclear facilities, ASEs to accelerator facilities, and OSRs to non-nuclear facilities. Normally, TSRs/ASEs/OSRs are part of the safety analysis documentation (such as SAR, SAD, etc.). The authority to approve these requirements is based on facility type, hazard level, and the requirements in the applicable DOE Orders (5480.22 for TSRs, 420.2A for ASEs etc.).</p>
<b>Lead Organization</b>	<ul style="list-style-type: none"> <li>- NST for OAK Policy and Procedures governing the review and approval of nuclear safety analysis documentation including Hazards Classification.</li> <li>- LSOD for OAK Policy and Procedures governing the review and approval of non-nuclear safety analysis documentation including Hazards Classification.</li> <li>- Program Managers for programmatic activities and facilities.</li> <li>- Cognizant Program Managers for site wide activities and institutional facilities.</li> </ul>
<b>Authorities</b>	<ul style="list-style-type: none"> <li>- The lead organization approves ASEs for accelerators without the potential for more than minor onsite or negligible offsite consequences. (ASEs for accelerators that have higher on-site or off-site impacts are to be approved by CSOs)</li> <li>- The lead organization approves all OSRs.</li> <li>- EM-1 has delegated approval of TSRs for category 2 &amp; 3 nuclear facilities to the OAK Manager in memos dated 1/10/01 and 4/3/01.</li> <li>- DP-1 has delegated approval of TSRs for category 3 nuclear facilities to the OAK Manager in memos dated 7/10/92 and 1/28/01. The OAK Manager has delegated the approval authority for DP Category 3 Facilities to the AMNS in a memo dated 10/5/99</li> <li>- DP-1 has delegated approval authority for LLNL Building 332 TSRs to the OAK Manager in a memo dated May 6, 1994. The OAK Manager redelegated this authority to the AMNS in a memo dated 10/5/99.</li> <li>- SC-20 has delegated approval of TSRs for Category 3 facilities to the BSO/SSO Directors in a memo dated 3/1/01.</li> </ul> <p><b>Note: Only CSOs can delegate approval authority for nuclear facilities.</b></p>
<b>References</b>	<p>10 CFR 830 Subpart B, DOE 5480.22, DOE 420.2A, SAN MD 5481.1A, OAK SD 5481.1B, DOE FRAM 9.4.1.2, 9.4.1.6; 9.4.2.2, 9.4.3.2, DOE/OAK/AMNS/AMEN SOP “Review and Approval of Nuclear Safety Documents”, DOE/OAK/AMNS/AMEN SOP “Unreviewed Safety Question Process”</p>

<b>PROGRAM EXECUTION – TABLE 4</b>	
<b>4D) Unreviewed Safety Questions/Unreviewed Safety Issues/USQ Like Documents</b>	
<b>Function</b>	<p>Approve contractor USQ procedures and positive evaluate USQ recommendations falling outside of the authorization basis. Ensure effective contractor implementation of USQ program. (Note: USQ includes USQs, USIs, and USQ like documents identified in the title above.)</p> <p>The concept of the USQ was established to allow contractors to make changes and to conduct experiments without DOE approval, as long as these changes do not explicitly or implicitly affect the authorization basis or result in a TSR, ASE, or OSR change.</p>
<b>Lead Organization</b>      <b>Authorities</b>	<ul style="list-style-type: none"> <li>- NST for OAK Policy and Procedures governing the review and approval of nuclear safety analysis documentation.</li> <li>- LSOD for OAK Policy and Procedures governing the review and approval of non-nuclear safety analysis documentation.</li> <li>- Program Managers for reviewing USQ declarations/screenings/determinations for programmatic activities and facilities</li> <li>- Cognizant Program Managers for reviewing USQ declarations/screenings/determinations for site wide activities and institutional facilities.</li> </ul> <ul style="list-style-type: none"> <li>- EM-1 has delegated to the AMEN authority to approve USQ Process documentation prepared by contractor demonstrating compliance with 10 CFR 830 Subpart B in memos dated 1/10/01 and 4/3/01.</li> <li>- DP-1 has delegated to the OAK Manager authority to approve USQ Process documentation prepared by contractor demonstrating compliance with 10 CFR 830 Subpart B in a memo dated 3/28/01 (Note: This authority had previously been delegated to OAK through DOE Order 5480.21 paragraph 9.e. (2)). The OAK Manager has delegated this authority to the AMNS in a memo dated 10/5/99.</li> <li>- Cognizant Program Managers declare the existence of a USQ, when discovered, and take appropriate actions as outlined in Paragraph 9 of DOE Order 5480.21.</li> <li>- The approval authority for the authorization basis declares positive USQs outside of the authorization basis.</li> </ul>
<b>References</b>	10 CFR 830 Subpart B;DOE 5480.21 and 420.2A, DOE FRAM 9.4.1.2, 9.4.1.6; 9.4.2.2, 9.4.3.2, 9.4.4, SAN MD 5481.1A, OAK SD 5481.1B, DOE/OAK/AMNS/AMEN SOP “Unreviewed Safety Question Process”
<b>5. PERMITS</b>	
<b>Function</b>	<p>Review, concur, and/or sign environmental permit applications.</p> <p>DOE operations are required to obtain various environmental permits. Some permits require a DOE signature. The level of involvement in the permit process by DOE shall be determined by the line manager based on the hazard, costs, and complexity of the project. DOE/OAK is subject to the Federal Facility Compliance Act (FFCAct), and the associated consent orders and Site Treatment Plans for mixed hazardous and radioactive waste.</p>
<b>Lead Organization</b>	<ul style="list-style-type: none"> <li>- Program Managers for programmatic activities and facilities.</li> <li>- Cognizant Program Managers for site wide activities and institutional facilities.</li> </ul>

PROGRAM EXECUTION – TABLE 4	
<b>5. PERMITS</b>	
<b>Authorities</b>	<ul style="list-style-type: none"> <li>- The Lead Organization (see above) for site specific NPDES permit application, or any other permit application requiring DOE signature except RCRA Part B permits.</li> <li>- The AMEN for RCRA Part B permits and for FFCAct Site Treatment Plans at all OAK/EM sites.</li> <li>- BSO/SSO for RCRA Part B permits and the STP at LBNL or SLAC.</li> </ul>
<b>References</b>	40 CFR 122.22, SEN-22-90, DOE FRAM 9.4.2.2, Federal Facility Compliance Act, Consent Orders
<b>6. AUTHORIZATION OF OPERATIONS</b>	
<b>Function</b>	<p>Conduct Operational Readiness Reviews (ORR), Readiness Assessments (RA), and Accelerator Readiness Reviews (ARR) for startup or restart of facilities/operations in accordance with the applicable DOE requirements.</p> <p>Prior to authorizing the startup or restart of a facility or activity, steps need to be taken to ensure the readiness of the facility. DOE Orders detail specific requirements for nuclear facilities and accelerator facilities. Some type of operational readiness review activities may be required for other facilities. Additionally, separate authorization requirements exist for Strategic Systems.</p>
<b>Lead Organization</b>	<ul style="list-style-type: none"> <li>- Program Managers for programmatic activities and facilities.</li> <li>- Cognizant Program Managers for site wide activities and institutional facilities</li> </ul>
<b>Authorities</b>	<ul style="list-style-type: none"> <li>- DP-1 has delegated to the OAK Manager approval for start-up of Category 3 nuclear facilities and restart of Category 2 and 3 nuclear facilities in a memo dated 2/2/96.</li> <li>- EM-1 has delegated startup/restart authority for EM Nuclear Category 3 facilities to the OAK manager in a memo dated 8/8/94 which was redelegated to the AMEN in an OAK memo dated 4/14/97.</li> <li>- EM-1 delegated to the OAK Manager the restart authority for EM Category 2 nuclear facilities in a memo dated 4/29/96</li> <li>- OAK Manager or BSO/SSO Director approves commissioning activities and routine operations for accelerators that do not have the potential for more than minor on-site or more than negligible offsite impacts to workers, the public or the environment.</li> <li>- OAK Manager or BSO/SSO Director approves restart of an accelerator facility when the OAK ordered the shutdown.</li> <li>- The OAK Manager or BSO/SSO Director recommends approval for commissioning activities or routine activities to the CSO for all other accelerators.</li> <li>- Approval for startup/restart of other facilities are not explicitly stated in DOE Orders, but is defined in the AMLS/AMEN Startup procedure.</li> <li>- Approval for MSAs (Critical Decision 4) is by the Secretary.</li> <li>- OAK Aviation Manager approves all OAK aviation activities</li> <li>- BSO/SSO Directors approve aviation activities at LBNL/SLAC.</li> </ul>
<b>References</b>	DOE O 425.1B, DOE 420.2A, DOE O 430.1A, DOE 440.2, OAK Aviation Implementation Plan, DOE FRAM 9.5.1.1-3, DOE Order 460.2, DOE/OAK/AMLs/AMEN SOP Start up and Restart of Facilities

PROGRAM EXECUTION – TABLE 4	
7. REVIEW AND APPROVAL OF FACILITY/PROGRAM SPECIFIC DOCUMENTATION	
<b>Function</b>	<p>Review and approve facility/program specific documents (other than those previously listed) where required by DOE Directives.</p> <p>Examples include: Documentation prepared by the contractor to demonstrate conformance with the guidelines of DOE 5480.19 Conduct of Operations and Training Implementation Matrices per DOE 5480.20A, radioactive waste generator requirements per DOE O 435.1, closure plans per DOE O 435.1, use of non-DOE facilities for radioactive waste, etc.</p>
<b>Lead Organization</b>	<ul style="list-style-type: none"> <li>- Program Managers for programmatic activities and facilities.</li> <li>- Cognizant Program Managers for institutional facilities or procedures.</li> </ul>
<b>Authorities</b>	<ul style="list-style-type: none"> <li>- The lead organization (see above) approve contractor Training Implementation Matrices and contractor procedures for exceptions to training for nuclear facilities</li> <li>- AMEN or designee approves closure plans for radioactive waste management facilities at OAK facilities</li> <li>- BSO/SSO Director approves closure plans for radioactive waste management facilities at LBNL/SLAC.</li> <li>- The Cognizant Program Manager approves radioactive waste acceptance criteria.</li> <li>- The lead organization (see above) approves for all other documents unless assigned to the PSO/CSO by the applicable DOE Directive. The lead organization also approves where the PSO/CSO has delegated that authority to OAK.</li> </ul>
<b>References</b>	DOE Orders 4330.4B, 5480.19, 5480.20A, 420.2A, 460.2, DOE Manual 435.1-1, DP FRAM
8. OCCURRENCE REPORTING	
<b>Function</b>	<p>Reviewing and approving occurrence reports.</p> <p>Reporting of off-normal and unusual occurrences are required by DOE O 232.1. Where this Order has been contractually required, DOE reviews and approves these reports. At non-M&amp;O sites, a formal agreement should be made regarding the reporting of unusual incidents.</p>
<b>Lead Organization</b>	<ul style="list-style-type: none"> <li>- Program Managers/Operations Team Leaders for programmatic activities and facilities.</li> <li>- Cognizant Program Managers for site wide activities and institutional facilities. (Note: For LLNL the AMNS has assigned this responsibility to LSOD)</li> <li>- ESHD for reports submitted by OAK.</li> </ul>
<b>Authorities</b>	<ul style="list-style-type: none"> <li>- The Lead Organization (see above) approves all occurrence reports.</li> <li>- DP-1 delegated all PSO duties, responsibilities, and authorities for occurrence reporting and processing to OAK in a memo dated 4/14/98, the OAK Manager has redelegated this authority to AMNS in a memo dated 4/12/99.</li> <li>- EM-1 delegated final approval of off-normal occurrence reports to OAK in a memo dated 8/19/96.</li> <li>- EM-1 delegated approval of occurrence reporting plans and procedures to OAK in a memo dated 5/19/93.</li> <li>- SC-20 delegated final approval of off-normal occurrence reports for SLAC and LBNL to SSO and BSO Directors respectively in a memo dated 3/1/01.</li> <li>- Final approval of all other occurrence reports is by the PSO.</li> </ul>
<b>References</b>	DOE Order 232.1, DOE M 232.1-1, DOE FRAM 9.6.1.2

PROGRAM EXECUTION – TABLE 4	
<b>9. RESOLVING MULTIPLE DIRECTION</b>	
<b>Function</b>	<p>Resolve conflicting guidance from PSOs.</p> <p>Because many OAK sites perform work directed by more than one PSO at HQ, occasionally guidance from one PSO will conflict with guidance from another PSO at a particular site. When this occurs, OAK must take the lead in proposing a resolution to the conflict. This will require the site offices and program divisions to work together to arrive at an OAK proposed resolution.</p>
<b>Lead Organization</b>	<p>Cognizant Program Manager has the lead for site specific conflicts.</p> <p>OAK Manager will assign a lead for if the conflict affects multiple sites.</p>
<b>Authorities</b>	OAK Manager approves OAK proposed resolution to the conflict.
<b>References</b>	DOE FRAM Paragraph 6.
<b>10. DOE NUCLEAR SAFETY RULES IMPLEMENTATION</b>	
<b>Function</b>	<p>Review and approval of contractor implementation plans, programs, and documents required by DOE Nuclear Safety Rules and processing exemption requests to these rules. Nuclear safety requirements in 10 CFR Parts 830 and 835 call for DOE approval of specified program plans and documents. Specifically, (1) Part 835, Occupational Radiation Program, requires contractors to develop Radiation Protection Programs (RPPs); (2) Part 830, Subpart A, Quality Assurance Requirements, requires contractors to develop Quality Assurance Programs (QAPs); (3) Part 830, Subpart B, Safety Basis Requirements, requires contractors to develop safety bases (including documented safety analyses and technical safety requirements), Unreviewed Safety Question (USQ) processes, and, where stipulated, preliminary documented safety analyses. <b>Functions, responsibilities, and authorities relating to safety bases and USQ processes , except for exemptions to Subpart B, are addressed in entries 4.4A-D of this Table.</b></p> <p>Exemptions may be requested through the program plan process, or after the plan has been approved, but must be processed in accordance with 10 CFR 820.</p>
<b>Lead Organization</b>	<ul style="list-style-type: none"> <li>- ESHD for the overall process for RPPs and QAPs.</li> <li>- Cognizant Program Manager for individual program plans and exemptions.</li> </ul>
<b>Authorities</b>	<ul style="list-style-type: none"> <li>- EM-1 delegated authority to approve implementation plans for 10 CFR 830.120 and 10 CFR 835 to the OAK Manager, in a memo dated 4/10/98, provided that a) plans do not contain exemption relief, b) a dialogue with EM is established early in the development process, c) funding requirements are consistent with current budget allocation, and d) a readiness assessment (if required) is conducted.</li> <li>- SC-20 delegated authority to OAK Manager or BSO/SSO Directors in a memo dated 3/1/01 to approve implementation plans for 10 CFR 830.120 and 10 CFR 835 provided a) SC staff participate on the review team, b) program changes that involve increased funding or significant schedule changes must be forwarded to HQ for approval, c) exemptions are forwarded to HQ for approval, and d) copies of approve PAAA documents are forwarded to SC.</li> <li>- DP-1 delegated to the OAK Manager authority to approve 10 CFR 835 implementation plans in a memo dated 7/16/99.</li> <li>- Exemptions are approved by the CSO for 10 CFR 830 or EH for 10 CFR 835</li> </ul>
<b>References</b>	10 CFR 820, 830, 835 DOE FRAM 9.4.1.4, 9.4.1.6, 9.5.3, DOE G 441-1.1, G 414.1-2, DOE-STD-1083

PROGRAM EXECUTION – TABLE 4	
11. EXEMPTIONS FROM LEGALLY MANDATED EXTERNAL (NON-DOE) REQUIREMENTS	
<b>Function</b>	<p>Process exemptions from external requirements</p> <p>In rare cases it may be necessary to pursue exemptions from the legally mandated ES&amp;H requirements of a local or state agency or another Federal agency. These requests may need to be coordinated with the appropriate DOE Headquarters Offices. Follow the requirements of the applicable DOE Order, if any.</p>
<b>Lead Organization</b>	<ul style="list-style-type: none"> <li>- Program Managers for programmatic activities and facilities.</li> <li>- Cognizant Program Managers for site wide activities and institutional facilities.</li> </ul>
<b>Authorities</b>	Cognizant Program Mangers/ Program Managers concur to any exemption requests prior to submittal to the PSO/CSO or appropriate agency.
<b>References</b>	DOE FRAM 9.4.1.5, DOE Orders 460.1A, 5400.1, 5480.4, 460.2

Table 5. Program Assignments

This table assigns program responsibility for each program at each site.

PROGRAM ASSIGNMENTS					
PROGRAM	LLNL	LBNL	SLAC	SPRU	EITEC
Defense Programs, except ONIF Project	DPOD LSOD	NA	NA	NA	NA
ONIF Project	ONIF	NA	NA	NA	NA
Office of Science Program	BSO	BSO	SSO	NA	NA
Waste Management Programs	LEPD	BSO	SSO	OEPD	OEPD
Environmental Restoration Programs	LEPD	OEPD	OEPD	OEPD	OEPD
EM Technology Development	LEPD	LEPD	NA	OEPD	NA
Nonproliferation and National Security Programs (except Emergency Preparedness)	NSPD	NSPD	NA	NA	NA
Office of Intelligence	NSPD	NA	NA	NA	NA
Work for Others	DPOD	BSO	SSO	NA	OEPD
Intelligence Work for Others	NSPD	NSPD	NA	NA	NA
Misc. Programs (e.g. EE, etc.)	Various	BSO	NA	NA	NA
Nuclear Energy Programs	LEPD	LEPD	NA	NA	NA

Table 6. CSO Assignments

This Table shows the Secretarial Officer who has been assigned as the Cognizant Secretarial Officer for the major OAK sites.

CSO/CPM ASSIGNMENTS		
Site	CPM	CSO
Energy Technology Engineering Center	OEPD	EM
Lawrence Berkeley National Laboratory	BSO	SC
Lawrence Livermore National Laboratory	AMNS	DP
Stanford Linear Accelerator Center	SSO	SC
Separations Process Research Unit	OEPD	EM

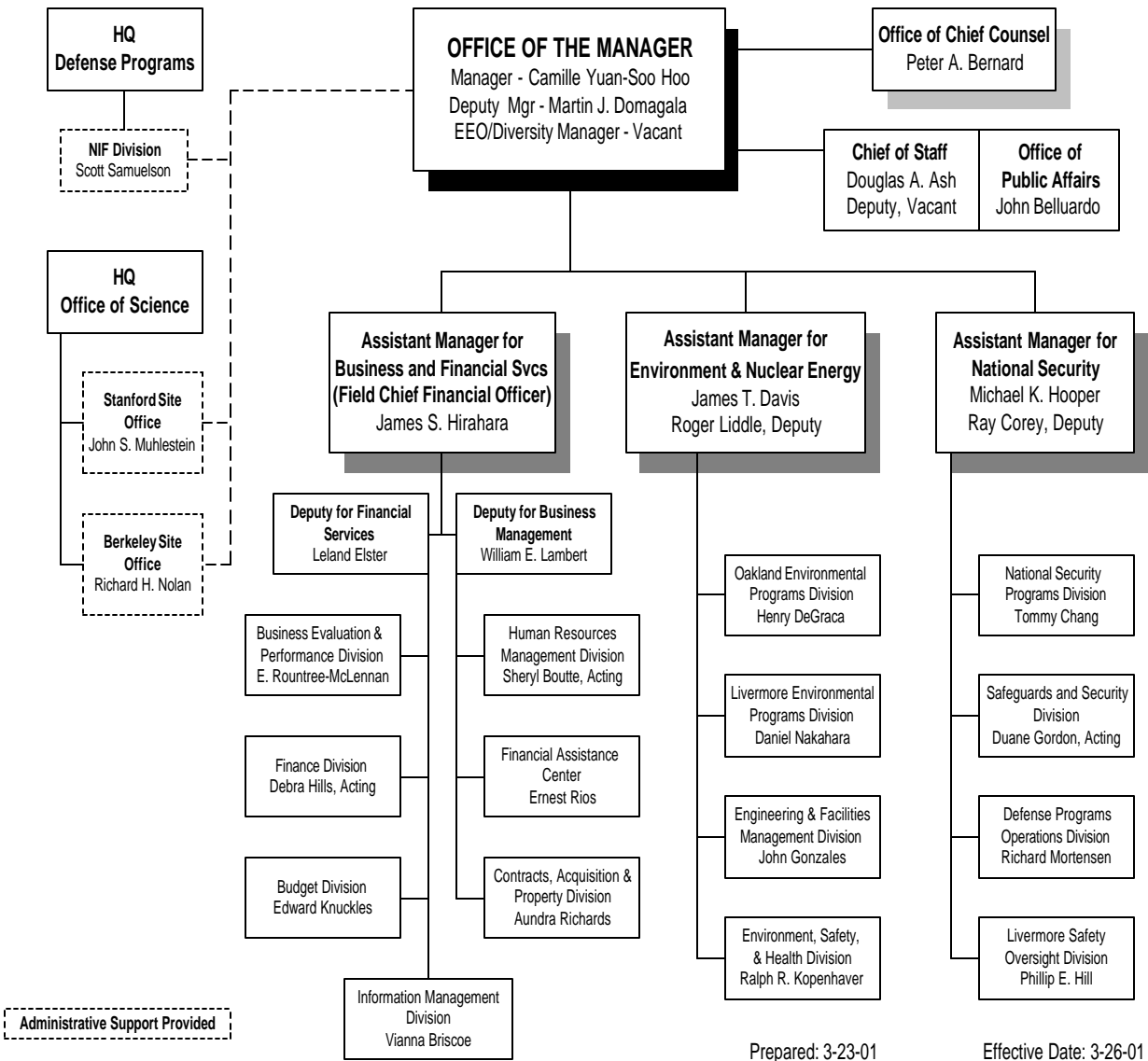
## Appendix B: Definitions

Accountability	The state of being liable for explanation to a superior DOE official for the exercise of authority. Ultimate accountability is to the Secretary who may delegate authority and responsibility for specific actions. The delegatee of an authority is accountable to the delegating responsible authority for the outcomes of the exercise of that authority.
Authorities	The basis under which a DOE employee is empowered to take an action. Such actions include approval of a proposal, stopping work, or directing a contractor to perform work. The basis for an authority may be a public law, a DOE directive, or the written delegation of the responsible authority empowered by such a basis.
Corporate Coordination	The OAK responsibility to coordinate activities that may apply to some or all programs and sites assigned to OAK.
Delegation	Written permission sent by a responsible authority to another DOE employee transmitting the authority to perform a specific function on behalf of that responsible authority, usually containing guidance towards the manner in which the authority is to be used. By delegation, the responsible authority cannot diminish his or her responsibility for the consequences of the exercise of the authority.
Facility Representative	For each major or group of lesser DOE nuclear and/or non-nuclear facilities, an individual or his or her designee assigned responsibility by the Head of the Field Organization for monitoring the performance of the facility and its operations. This individual will be the primary point of contact with the contractor and will be responsible to the appropriate Secretarial Officer and Head of Field Organization.
Facility Operations Engineer	A person assigned to perform day-to-day oversight of facilities determined not requiring a Facility Representative.
Function	a) The characteristic or proper activity of a person or thing; b) Specific duty, occupation or role.
Hazard	A source of danger (i.e., material, energy source, or operation) with the potential to cause illness, injury, or death to personnel or damage to an operation or to the environment (without regard for the likelihood or credibility of accident scenarios or consequence mitigation). (DOE5480.23)
ISMS	Integrated Safety Management System is a formal, organized process based on seven Guiding Principles and five Core Functions, for ensuring the integration of safety, health, and environmental considerations into all work planning and execution.
Line Management	The unbroken hierarchy line of persons or organizations responsible and accountable for their programmatic activities.
Operational Awareness	Includes but is not limited to periodic: reviews of pertinent documents; interactions and observations; on-site visits; assessments of performance objectives; evaluating activities related to appraisals, reviews, etc.; and other activities necessary to maintain awareness for programs under their jurisdiction.

Oversight	Refers to the responsibility and authority assigned to the Assistant Secretary for Environment, Safety and Health to independently assess the adequacy of DOE and contractor performances. Oversight is separate and distinct from line management activities, including self-assessment.
Responsibility	The state of being liable for the outcome of the exercise of an authority granted by law, regulation, or directive.
Risk	A quantitative or qualitative expression of possible harm that considers both the Probability that a hazard will cause harm and the amount of harm.
Role	A function or position.

Appendix C: Organizational Chart

Organization Chart  
For  
National Nuclear Security Administration, Oakland Operations Office



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## Appendix D: Level 1 Crosswalk to Level 2

DOE FRAM Section	OAK FRAM Section
9.1 Provide Direction	Table 3 - 1 Procurement Table 3 - 5 Line Management Oversight
9.1.1 DOE Strategic Plans, etc.	No OAK responsibilities
9.1.2 SO Strategic Plans, etc.	No OAK responsibilities
9.1.3 PSO Mission Assignment To Field	Table 4 - 1. Program Execution
9.1.4.1 Budget for Program	Table 4 - 1. Program Execution
9.1.4.2 Budget for ES&H Infrastructure	Table 4 - 1. Program Execution Table 3 – 2 Contractor ES&H Management Systems
9.1.5 Resource Allocation to FEM	Table 4 - 1. Program Execution
9.1.6 Technical Qualification	Table 2 - 5. OAK Technical Training
9.2.1 Translate Mission into Work	Table 4 - 1. Program Execution
9.2.2.1 Policies, Orders, Notices, etc.	Table 2 - 2. Directive System Table 2 - 4. Corporate Coordination Table 3 - 3. Identification of ES&H Standards
9.2.2.2 Technical Standards for Use Within DOE	Table 2 - 2. Directive System Table 2 - 4. Corporate Coordination
9.2.2.3 Rules	Table 2 - 2. Directive System Table 2 - 4. Corporate Coordination
9.2.2.4 Contract Performance Expectations	Table 2 - 4. Corporate Coordination Table 3 - 1. Procurement Table 3 - 5. Line Management Assessment
9.2.2.5 Organizational FRAMs	Table 2 - 1. OAK ES&H Management System
9.2.2.6 Approval of SMS Documentation	Table 2 - 4. Corporate Coordination Table 3 - 2. Cont. ES&H Management System
9.2.3 Allocate Resources to Cont.	Table 4 - 1. Program Execution Table 3 - 5. Line Management Assessment
9.2.4 Prioritize Tasks	Table 3 - 2. Cont. ES&H Management System Table 4 - 1. Program Execution
9.3.1 Identify and Analyze Hazards	Table 4 - 4A. Hazard Classification Table 4 - 4B. Safety Analysis Doc. Table 3 - 3. Identification of ES&H Standards Table 4 – 10 DOE Rule Implementation
9.3.2 Categorize Facility	Table 4 - 4A. Hazard Classification
9.4.1.1 ID Standards and Requirements for Category 1	N/A OAK has no Category 1 Facilities
9.4.1.2 ID Standards and Requirements for other fac.	Table 3 - 3. ID of ES&H Standards Table 3 - 4. Authorization Agreements Table 4 - 4. Authorization Basis Table 3 - 1. Procurement

DOE FRAM Section	OAK FRAM Section
9.4.1.3 Exemptions from DOE requirements	Table 2 - 2. Directive System
9.4.1.4 Exemptions from DOE Rules	Table 4 - 10. DOE Rule Implementation
9.4.1.5 Exemptions from ext. req.	Table 4 - 11. Exemptions from ext. req.
9.4.1.6 DOE Rule Implementation	Table 4 - 10. DOE Rule Implementation Table 4 - 4 Authorization Basis
9.4.2.1 ID Controls Cat. 1	N/A OAK has no Category 1 facilities
9.4.2.2 ID Controls Cat. 2 & 3 and Non-Nuc.	Table 4 - 3. Design Reviews Table 4 - 4. Authorization Basis Table 4 - 5. Permits Table 3 - 5. Line Management Assessment
9.4.3.1 Authorization Basis for Cat. 1	N/A OAK has no Cat. 1 Facilities
9.4.3.2 Authorization Basis for other facilities	Table 4 - 4. Authorization Basis Table 3 - 5. Line Management Assessment
9.4.3.3 Authorization Protocols	Table 3 - 4. Authorization Agreements
9.4.4 Implement Controls	Table 3 - 5. Line Management Assessment Table 4 - 4D. Unreviewed Safety Questions
9.5.1 Confirm Readiness	Table 3 - 5. Line Management Assessment
9.5.1.1 Operation Readiness Reviews 9.5.1.2 Startup Auth. for Nuc. Fac. 9.5.1.3 Startup Auth. for Non-Nuc. Fac.	Table 4 - 6. Authorization of Operations
9.5.2 Perform Work Safely	Table 2 - 1 OAK ES&H Management System Table 3 - 3 Procurement Table 3 - 5. Line Management Assessment
9.5.3 Quality Assurance	Table 3 - 5. Line Management Assessment Table 3 - 2. Cont. ES&H Management Systems Table 4 - 10 DOE Rule Implementation
9.6.1.1 Lessons Learned Program	Table 3 - 5. Line Management Assessment Table 3 - 2. Cont. ES&H Management Systems Table 2 - 4. Corporate Coordination
9.6.1.2 ORPS	Table 3 - 3. ID ES&H Standards Table 4 - 8. ORPS
9.6.1.3 ES&H Reporting Requirements	Table 3 - 5. Line Management Assessment Table 3 - 3. ID ES&H Standards
9.6.1.4 Assessments	Table 2 - 1. OAK ES&H Management Systems Table 3 - 5. Line Management Assessment Table 2 - 3. Self Assessment
9.6.1.5 Accident Investigation	Table 2 - 8. Accident Investigation
9.6.1.6	No OAK responsibilities assigned, however see Table 2 - 4 Corporate Coordination

DOE FRAM Section	OAK FRAM Section
9.6.2 Make Changes to Improve	Table 2 - 1. OAK ES&H Management Systems Table 2 - 3. Self Assessment
9.6.3.1 Line Management Oversight	Table 3 - 5. Line Management Assessment
9.6.3.2 EH Oversight	Table 3 - 6. External Assessment
9.6.3.3 PAAA Enforcement	Table 3 - 5. Line Management Assessment Table 3 - 6. External Assessment
9.6.3.4 Interface with DNFSB	Table 2 - 4. Corporate Coordination